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ABSTRACT

This report presents summaries of 21 papers which address various issues related to day care policy formation. The papers were commissioned as part of the information gathering and dissemination activities of the Federal Interagency Day Care Requirements (FIDCR) Appropriateness Study. The summaries of the papers are divided into four topical clusters. Cluster I includes two papers which describe the history of FIDCR. These papers review the factors which precipitated the development of the requirements, their intended role, proposed revisions and possible problem areas. Cluster II includes six papers which address issues related to the role of federal, state and local governments in day care policies. Some of the issues reviewed include historical involvement, legality, federal-state cooperation, alternatives to FIDCR, enforcement of standards and child care in other countries. Cluster III papers describe the impact of day care on children, families and caregivers. The issues emphasized in these 12 papers include the impact of day care on families and society, infant and preschool child development, parent involvement, child-staff ratios, after-school programs, the elderly as caregivers, staff considerations, health and safety, and the physical environment. The single paper in Cluster IV presents an analysis of the day care market and the factors which lead families to choose specific types of services. This paper also discusses the role of the federal government in the day care market and federal policies affecting supply and demand. (BD)

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POLICY ISSUES IN DAY CARE: SUMMARIES OF 21 PAPERS

U.S. DEPARTMENT OF HEALTH, EDUCATION & WELFARE
NATIONAL INSTITUTE OF EDUCATION

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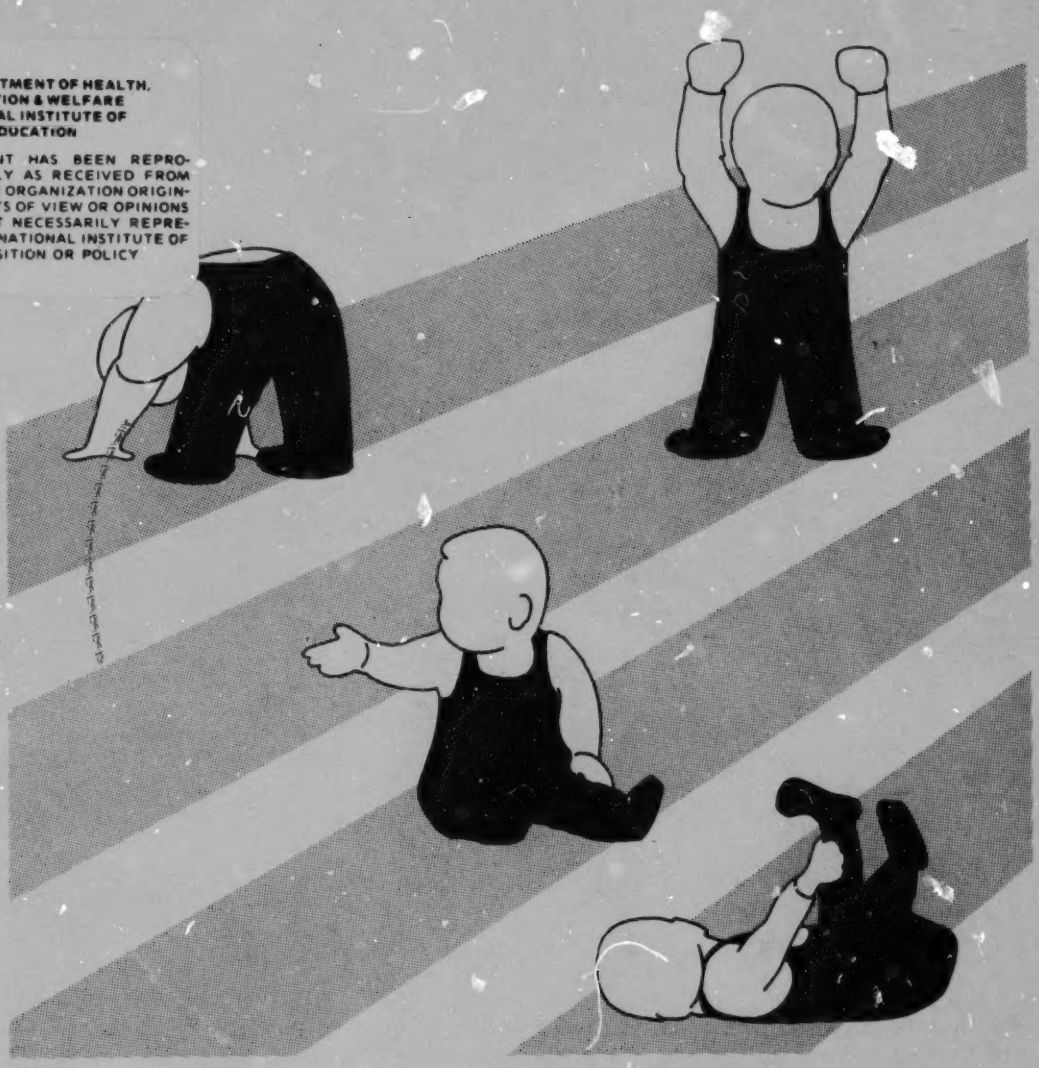

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Prepared by the

Center for Systems and Program Development, Inc.
Washington, D.C. 20005

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The papers summarized in this report--and the report itself--were produced over a period of approximately two years and involved more than 100 consultants, including authors, from across the country who were engaged in an extensive development, review, and revision process. The amount charged to the Department of Health, Education and Welfare for the work resulting in this report (inclusive of the amounts so charged for any prior reports submitted under this contract) is $51,831.

DEPARTMENT OF HEALTH, EDUCATION, AND WELFARE
OFFICE OF THE SECRETARY
WASHINGTON, D.C. 20201

November 28, 1977

Dear Reader:

The Department of Health, Education, and Welfare (HEW) and the Center for Systems and Program Development, Inc. (CSPD) have worked together to prepare and distribute Policy Issues in Day Care. This report contains summaries of the 21 state-of-the-art papers, developed as one of the many information-gathering and dissemination activities of the FIDCR Appropriateness Study. The papers themselves will be used to help enlighten policy decisions about the Federal Government's role in regulating day care. The opinions expressed in the papers are the authors' own and not necessarily those of HEW. It is our feeling, however, that they can inform and stimulate the day care debate.

The collection was assembled under HEW contract number 100-77-0017, awarded to CSPD in February 1977 by the Office of the Assistant Secretary for Planning and Evaluation. The papers--totaling approximately 2,000 pages--reflect the thinking of recognized experts in the day care and child development community. We are pleased to distribute the key ideas of the FIDCR papers to the general public.

Sincerely,

William R. Prosser
Chairperson, FIDCR
Appropriateness Committee

Center for Systems
& Program Development, Inc.

1522 K STREET, N.W.
WASHINGTON, D.C. 20005
202-833-1891

November 28, 1977

Dear Reader:

The Center for Systems and Program Development, Inc. is pleased to have joined the Department of HEW in the preparation of Policy Issues in Day Care. This report contains summaries of the 21 state-of-the-art papers developed as part of the data-gathering activities of the FIDCR Appropriateness Study. We believe that it will be useful not only to those people concerned with the Appropriateness Report, but to everyone interested in exploring possible directions for day care in the United States. We truly enjoyed working on this report, and we are happy to share it with you.

Cordially,

Ruth T. Perot

Ruth T. Perot
President

ACKNOWLEDGEMENTS

The preparation of this collection has involved a number of people whose participation and cooperation should be noted:

- The authors of the 21 state-of-the-art papers (see appendix)
- The 63 technical reviewers whose comments helped to focus the revisions of the papers (see appendix)
- The members of the HEW FIDCR Committee (see appendix)
- The staff of the Office of the Assistant Secretary for Planning and Evaluation: William R. Prosser, Project Officer, Lucy Conboy, Sonia Conly, Linda Gerson, Jane Gold, Gerry Hendrickson, Carol McHale, and Dail Neugarten
- The staff of Graphica, International, for their work on the layout and design of the finished document.

The CSPD staff members who helped to prepare Policy Issues in Day Care include:

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INTRODUCTION

The Federal Interagency Day Care Requirements (FIDCR) Appropriateness Study is a policy research effort mandated by Congress to evaluate the role of the Federal Government in regulating day care services for children. Members of several agencies of the Department of Health, Education and Welfare, chaired by the Office of the Assistant Secretary for Planning, have served on a committee to direct the study. The FIDCR Committee commissioned a series of state-of-the-art papers, summaries of which appear in this volume, as one part of its information-gathering and dissemination activities.

Background

The Economic Opportunity Act Amendments of 1967 directed the Secretary of Health, Education and Welfare and the Director of the Office of Economic Opportunity to establish a common set of day care standards to be applied to all day care funded under the jurisdiction of those agencies. The standards were intended to guarantee the quality of care received by children in federally funded programs and to provide guidelines for States seeking to upgrade their regulatory efforts to ensure quality care at the State and local levels.

On September 23, 1968, the Secretary of Health, Education and Welfare, the Director of the Office of Economic Opportunity, and the Secretary of Labor jointly issued the Federal Interagency Day Care Requirements.

The FIDCR set forth specific mandatory standards and recommendations that were considered highly desirable for day care programs receiving Federal funds. The requirements were based on the assumption that the prevailing principles of positive child development could best be aided by the Government through careful control of classroom and center characteristics. The philosophy of the FIDCR was founded on principles of child development generally accepted at that time. The specific requirements were based on professional judgment. Little, if any, empirical evidence supported any specific level for each of the classroom and center characteristics.

Most of the requirements are phrased in general terms, and even the staff-child requirements for which specific levels are prescribed are subject to a variety of interpretations. In addition, the FIDCR provide little guidance--apart from setting the maximum number of children in family day care homes--for day care that is not center-based or for programs that serve infants and their families.

State and local monitoring authorities and providers have interpreted the requirements in diverse ways and have often been in a state of uncertainty. Only in 1977 was a monitoring guide issued by HEW.

In 1972, under the auspices of the Office of Child Development, an intergovernmental task force attempted to make the FIDCR more relevant. The revisions were developed in anticipation of passage of the Welfare Reform Act of that year (H.R. 1). When the measure failed in the Congress, the revised FIDCR were laid aside. Recent amendments to the Economic Opportunity Act require that any new version of the FIDCR be "no less comprehensive" than the original provisions.

Title XX of the Social Security Act (P.L. 93-647), passed in January 1975, effectively establishes a second set of FIDCR that applied to day care purchased by State social services agencies. In addition to changing or postponing some specific provisions in the 1968 FIDCR, it requires HEW to withhold Federal money from programs that do not meet the FIDCR and empowers the Department to levy a penalty on a State's Title XX funds if the State fails to meet reporting requirements associated with monitoring day care programs. Finally, it requires the Secretary of Health, Education and Welfare to evaluate the appropriateness of the FIDCR and make a report to Congress. A special committee, composed of policy staff and day care experts from the Office of Human Development Services and the Office of the Assistant Secretary for Planning and Evaluation, has been organized to prepare the report.

The FIDCR State-of-the-Art Papers

The FIDCR Committee initiated many data-gathering activities toward the preparation of the report. One of these activities was to commission a series of state-of-the-art papers designed to help synthesize relevant information about public administration, human development, and economics for use in preparing the appropriateness report and for making policy decisions about the Federal role in regulating day care.

The 20* papers were written by recognized experts in

*One paper was subsequently divided into two papers.

day care and child development. In many cases, the authors were asked to review and synthesize the relevant day care literature, identify critical issues to be addressed in organizing the literature, and present a set of recommendations bearing on day care policy and regulations. They were to base their papers on research data, program experience, and personal observation.

In order to ensure that various perspectives on the issues were represented, the FIDCR Committee asked public interest and day care advocacy groups to nominate individuals to prepare papers. Often several papers were solicited on the same topic in an attempt to provide balance. The completed papers were critiqued by a group of technical reviewers whose range of professional experience enabled them to read for technical soundness as well as for policy implications. The authors had an opportunity to revise their papers after the techinical review process, and then prepare or review the summaries that appear in this collection.

The subject areas addressed in the papers examine key issues to be considered in the FIDCR report. They include:

- The history of the FIDCR
- The role of governments in establishing and regulating day care; the administration of day care standards
- The effect of day care on children, families, and caregivers, and the community with regard to:
  - Age-specific groups of children (infants and toddlers, preschoolers, school age)
  - The effects of the physical environment (spatial design and organization, health and safety needs)
  - Staffing patterns
  - Parent participation
- Day care and the marketplace.

The Summaries

This collection of summaries is intended to help citizens and policymakers identify those papers what will illuminate day care issues of particular concern to them. The summaries are not, however, intended to substitute for

the papers themselves. All of the state-of-the-art papers have been available for distribution in draft form since January 1977, and they will continue to be available in final form. Summaries of technical comments have been reproduced and are also now available.

After June 1978, both the papers and the summaries of the technical comments can be ordered through the Educational Resources Information Center (ERIC), National Institute of Education, Washington, D.C. 20208, and the National Technical Information Service (NTIS), Department of Commerce, 5285 Port Royal Road, Springfield, Virginia 22161. In the meantime, they can be obtained by writing to:

Mr. William R. Prosser
FIDCR Appropriateness Committee
Department of Health, Education and Welfare
OS/ASPE/SSHD - 416-E Hubert Humphrey Building
200 Independence Avenue, S.W.
Washington, D.C. 20201

The interpretations and conclusions expressed in these summaries are the authors' and are not intended to represent the position or policy of the Department of Health, Education and Welfare. It is hoped, however, that they will enhance the public debate on social policy and the proper Federal role in regulating day care.

In the sections that follow, the summaries of the 21 state-of-the-art papers have been divided into four clusters, depending upon their subject matter. These clusters are:

- Cluster I. History of FIDCR
- Cluster II. Role of Governments in Day Care
- Cluster III. Impact of Day Care on Children, Families, and Caregivers
- Cluster IV. Day Care and the Marketplace: Overview of Supply and Demand.

Cluster I.

History of FIDCR

"History of the Federal Interagency Day Care Requirements," by Sara Pope Cooper

"Federal Day Care Standards: Rationale and Recommendations," by Donald J. Cohen and Edward Zigler

INTRODUCTION TO CLUSTER I. HISTORY OF FIDCR

This cluster, which includes two papers, looks at the FIDCR from an historical viewpoint: the factors precipitating their development; their intended role; their proposed revisions; and the problems--including compliance--facing them.

"History of the Federal Interagency Day Care Requirements" was written by Sara Pope Cooper, a writer and editorial consultant.

"Federal Day Care Standards: Rationale and Recommendations" was written by Donald J. Cohen, M.D., Associate Professor of Pediatrics, Psychiatry, and Psychology at The Child Study Center of the Yale University School of Medicine, and Edward Zigler, Ph.D., Sterling Professor of Psychology at Yale University. From 1970 to 1972, Dr. Zigler was Director of the Office of Child Development, Department of Health, Education and Welfare, and Dr. Cohen was his special assistant.

HISTORY OF THE FEDERAL INTERAGENCY DAY CARE REQUIREMENTS

by

Sara Pope Cooper

EXECUTIVE SUMMARY

Overview

Day care has been a subject of persistent, sometimes bitter dispute in the United States for more than 100 years--largely owing to conflicts in national values and questions of basic social policy which have never been fully resolved. Over time, however, the broad outlines of a national day care policy have gradually begun to emerge and adoption of the Federal Interagency Day Care Requirements (FIDCR) in 1968 marked a significant step in the development of that national policy.

In this paper, the author presents an analysis of the events that led to the drafting of the FIDCR and to the subsequent day care policy initiatives undertaken within the Federal Government. The author's analysis is based upon available records and verbal accounts from leading participants, their aides, and others with relevant knowledge.

History and Background

Recognition that a need existed for day care services for the children of women who did in fact work outside the home or needed to be so employed dates back at least to the early 19th century. In 1828, for example, a group of Boston citizens drew up a charter for a children's school remarkably similar to a modern day care center in its purposes and goals. Throughout the 19th century and the 20th as well, the almost-uninterrupted rise in the number of American women working outside the home led to a corresponding increase in the need for day care. Much of this need was met, as it is today, by informal home-center arrangements with relatives, neighbors, and friends. There was also an increase in the organization of nonhome day care facilities, however, and the impetus for

such institution building was enhanced by the growing interest of more affluent parents in the developmental advantages of preschool or "nursery school" experience for young children.

As a consequence of these and other factors, the day care movement gained considerable momentum. Disparities in the quality of care provided and concern about the adequacy of care in many instances led to pressure for improvement and for the creation of mechanisms to assure minimum standards of protection for the health and safety of children.

At the same time, there was continued resistance to the basic idea of day care on the part of many groups and institutions in American society--groups and institutions concerned about encouraging women to work outside the home, about the threat day care was seen as posing for family ties, and about the involvement of government and other outside institutions in so personal a thing as child care.

The author attributes to these historical trends the creation of the modern day care issue and the continuation of the debate over day care standards.

The Federal Government's initial involvement with the provision of day care began indirectly--in 1933 when support of day care was authorized as a supportive service for parents employed by the Works Project Administration during the Depression. The Federal support ended with the recovery of the Nation's economy and the termination of the WPA.

The Lanham Act of 1941, which was enacted in response to the U.S. mobilization effort for World War II, marks the Federal Government's second venture into the day care field. While the emphasis in both the 1933 and 1942 programs was on solving adult employment problems, the programs also contained elements of direct service to children.

The 1962 amendments to the Social Security Act, which were the Federal Government's next venture into day care, even more clearly reflected the two distinct areas of concern:

- Meeting social needs of children and families stemming from the increased number of working women in the United States

- Providing necessary supportive services for adults seeking to escape the cycle of poverty.

The author observes that the 1962 amendments foreshadowed the confusion and conflict that characterized the day care

issue in subsequent years.

The Legislative Mandate for the FIDCR

The legislative mandate for the FIDCR was a direct outgrowth of the "war on poverty." The intent of the enacting legislation was to:

- Provide a broad range of supportive services for the children of poor and disadvantaged families.
- Stimulate employment and job training among low-income or unemployed persons with a view toward breaking the poverty cycle.
- Encourage sound, well-coordinated administration of federally funded day care programs.

Thus, Public Law 90-222, the legislation mandating the FIDCR, authorizes Federal support of day care for children from families who need such assistance to become or remain self-sufficient; the law also requires that federally funded day care services be coordinated with other State social service programs. Moreover, the legislation directed the Director of the Office of Economic Opportunity and the Secretary of Health, Education and Welfare to establish a common set of program standards or regulations for day care programs under their jurisdiction.

Development of the FIDCR

In response to this mandate, the Secretary of HEW, with support from OEO, initiated the creation of an interdepartmental committee to develop the standards and mechanisms for coordination of day care programs. The committee, called the Federal Panel on Early Childhood, worked under the supervision and direction of Dr. Jule Sugarman. Despite the diversity of perspectives represented on the panel, a consensus was reached on most points. According to the author, at least several of the panel members envisioned the FIDCR as goal standards, not as rigid rules.

This attitude is reflected in the deliberate lack of specificity in the language of the FIDCR, which later became a source of criticisms. Panel members, however, had intended that the standards allow for flexibility in the various types of day care programs serving different populations and geographic areas.

In developing the FIDCR, the panel examined many aspects of day care. Five significant issues generated extensive debate: Child-staff ratios, parent participation, mental and

physical health service, delivery mechanisms, and costs.

When a first draft of the FIDCR was completed, it was distributed for comments and suggestions to a broad range of interest groups. Despite this rigorous scrutiny the final form of the FIDCR was not substantially different from the first draft.

State Licensing Codes

Upon completion of the FIDCR in 1968, day care specialists in the Office of Child Development and elsewhere turned their attention to the task of analysing and reforming State licensing codes.

Licensing codes, which originated in 1885, were initially conceived as vehicles for establishing minimum levels of care that providers must maintain to assure the physical and mental protection of children. Although State codes in some form were virtually universal by the early 1970's, some State codes were so strict and elaborate that they raised provider costs prohibitively; others were so lax that child care specialists considered them wholly inadequate to guarantee a minimum of protection for children. As a result, the Federal Government assumed responsibility for preparing a model licensing code which all States would be encouraged to adopt, and which would incorporate the essentials of "quality" day care, while avoiding unnecessary or confusing requirements that would impede the development of child care delivery systems.

As a result of the political climate during that period, the model licensing code promulgated by HEW did not contain all of the provisions that had been included in the final drafts presented by the task force responsible for developing the code. The opinion among HEW officials was that certain aspects of the task force version were impractical and unworkable, and that the requirements for higher proportions of medically trained staff and extensive planning and record-keeping included in that version would limit the availability of services to families.

1972 Revisions of the FIDCR

During the same period that the model licensing code was being developed, an effort was also under way to revise the 1968 FIDCR to make them easier to enforce.

The revisions were an attempt to correct the following shortcomings of the original FIDCR as seen by HEW officials.

- Vague and insufficiently detailed wording
- Inadequate provisions for infants and school-age children
- Overly strict child-staff ratios
- Ambiguous staff training and qualification requirements
- Excessive parent involvement requirements.

The author indicates that the proposed 1972 revisions became the victim of controversy between HEW officials who were concerned about budgetary constraints and advocates who viewed the revisions as an attempt to weaken the FIDCR. As a result, the revisions were never sent to Congress.

Enactment of Title XX

The enactment of legislation adding Title XX to the Social Security Act in 1975 was a compromise. For the first time in a Federal statute, compliance with the FIDCR was made an absolute condition for receipt of Federal aid by day care centers. However, the educational services provisions of the FIDCR were made advisory, not mandatory. In addition, Title XX revised the FIDCR staffing ratios with regard to school-age children and infants.

More importantly, Title XX gave the Secretary of HEW sweeping power to modify the FIDCR by promulgating new regulations, after first submitting to Congress a study of the "appropriateness" of the FIDCR standards.

Conclusion

The basic controversy over national day care policy has continued, despite the passage of Title XX. The mandated appropriateness study is viewed by Government officials as another opportunity to make Federal day care programs more cost-effective and manageable without reducing service to children, while day care proponents feel the study is an attempt to weaken program requirements.

The author notes that this mistrust of the motives underlying the study has led some advocacy groups to withhold cooperation from some points of the project and will influence the reception of the report in Congress.

FEDERAL DAY CARE STANDARDS: RATIONALE AND RECOMMENDATIONS

by

Donald J. Cohen and Edward Zigler

EXECUTIVE SUMMARY

Overview

The concept paper examines the history of and reasons for the reluctance of the Federal Government to enforce standards for day care quality despite its increasing involvement in funding day care programs. The paper also analyzes the shortcomings of FIDCR through the comparison of the original document to a proposed revised version which was developed in 1972. In addition, recommendations are provided for restructuring Federal day care requirements, using the State and local experience with day care regulation as a frame of reference.

Although day care has existed in America for over 100 years, the idea of Government responsibility for day care quality is relatively recent. Day care services had been provided by private, charitable organizations; however, the Depression and World War II vastly increased the Federal expenditures on day care. In spite of these expenditures, Federal policy on day care has been inconsistent due to the traditional societal perception of day care as merely a temporary social welfare tool to increase the work force during national emergencies or to reduce the welfare rolls. The authors observe that unless the commitment and fiscal support for day care is based on concern for the welfare of children, the quality of the programs may suffer.

The current level of quality for day care programs funded under Title XX varies considerably, although Title XX was originally supposed to comply with the 1968 FIDCR. In view of a 1973 HEW audit which revealed that the majority of day care facilities sampled did not meet even the most basic Federal requirements, Congress placed a moratorium on Title XX compliance with the FIDCR. Federal law, therefore, requires only that day care facilities meet State licensing criteria.

Federal day care regulation is needed in addition to State day care licensing laws for several critical reasons:

- Licensing laws vary from State to State and even between localities in a single State.
- In many instances, State licensing laws have become so intricate that they constitute a barrier to the creation of new facilities.
- State licensing laws are concerned primarily with physical safety criteria, while criteria for child-staff ratios and competency of caregivers are too lenient.

Federal Interagency Day Care Requirements

The FIDCR set a precedent for day care standards which are developmentally oriented--with an emphasis on the provision of services necessary to guarantee the healthy social, emotional, intellectual, and physical development of children. Yet, the 1968 FIDCR contain many problems, the most significant of which are:

- Lack of specificity, which makes enforcement difficult
- Primary focus on center-based care, which serves only a small proportion of children
- Unclear definition of the responsibilities of day care provider and administering agencies
- Vague requirements for caregivers
- No provisions for the special day care needs of infants and toddlers.

In 1972, the Office of Child Development revised and strengthened the original 1968 FIDCR as a foundation for the day care component of the proposed Welfare Reform Plan. These standards were not implemented because of the political climate at that time. The authors suggest that the 1972 proposed standards should be analyzed more objectively because many of the original FIDCR's shortcomings outlined above were eliminated in the 1972 version.

A comparison of the two sets of standards indicated that the 1972 revision provided greater distinction between requirements for different age groups, types of day care staff and settings, and different administering agencies.

In addition, the 1972 requirements were found to be more specific, concrete, and enforceable.

Recommendations

In the final section of the paper, the authors note that in restructuring Federal day care requirements, attention should be given to the following lessons from the State and local experience:

- Cost implications must be analyzed so that States will be assured sufficient funds to comply.
- Monitoring is necessary for enforcement and should be performed at the State level with periodic review by HEW regional offices and participation by parent users of day care.
- Day care facilities should be allowed one year to implement the standards and provided with assistance in upgrading services.

The authors conclude that the safety and welfare of children in day care makes it crucial that this Nation commit itself to some Federal standards for the care purchased with Federal money or encouraged by Federal policy. The authors stress that the standards must be realistic, explicit, operationally definable and enforceable, sensitive to the individual needs of children and families and to differences during development, appropriate for day care provided in different types of settings, and carefully analyzed for cost. Sufficient funding and consultations should be available to assist providers in complying with standards within a defined "grace" period; and the Federal agency that sets the standards should have the real economic power to assure that standards are respected in practice.

The authors also observe that formal evaluations of implemented Federal standards and increasing experience with the impact of day care on children and families will, no doubt, clarify areas in which there has been continuing disagreement--e.g., the role of private enterprise in providing day care and dangers in day care for infants and toddlers. Emerging experience, research, and evaluations will also suggest revision in standards for day care. The authors note, however, that available knowledge already delineates broad areas of consensus about the basic, minimal characteristics of the care which this Nation should offer its children and that these more fundamental, broader areas of agreement have tended to become obscured. The authors

suggest that individuals and groups concerned with day care should be cautious that the goal of an ideal child care system in the future does not lead to inaction on behalf of those children who are in day care today and tomorrow.

Cluster II.

Role of Governments in Day Care

"Federal Day Care Standards in Context," by Gwen G. Morgan

"Federal Day Care Standards and the Law," by Gwen G. Morgan

"The Challenge of Child Day Care Needs and Improved Federal and State Approaches to Day Care Standard Setting and Enforcement," by Lela B. Costin, Mary Dublin Keyserling, William L. Pierce, and Walter Wadlington

"Alternatives to FIDCR: The Feasibility of State Standards for Certification of Federally Supported Day Care," by Richard R. Rowe

"The Enforcement of Child Day Care Licensing Standards: With Special Reference to Revocation," by Norris E. Class and Rolland C. Gerhart, Jr., with Rudolf H. Michaels and Walter Wadlington

"Licensing, Standards, and Regulations in Child Care Programs in Europe, Canada, and Israel," by Sheila B. Kamerman

INTRODUCTION TO CLUSTER II. ROLE OF GOVERNMENTS IN DAY CARE

This cluster, which contains six papers, analyzes the role of governments--Federal, State, and local--in day care from the viewpoints of historical involvement, legality, Federal-State cooperation, alternatives to the FIDCR, licensing standards enforcement, and child care in other countries.

Gwen G. Morgan, an instructor in day care and social policy at Wheelock College in Boston, prepared two papers, "Federal Day Care Standards in Context" and "Federal Day Care Standards and the Law," from her original single submission.

"The Challenge of Child Day Care Needs and Improved Federal and State Approaches to Day Care Standard Setting and Enforcement" was written by four persons: Lela B. Costin, Professor of the School of Social Work, University of Illinois at Urbana-Champaign; Mary Dublin Keyserling, a Consulting Economist in Washington, D.C.; William L. Pierce, the Assistant Executive Director of the Child Welfare League of America in Washington, D.C.; and Walter Wadlington, Professor at the School of Law, University of Virginia, Charlottesville.

"Alternatives to FIDCR: The Feasibility of State Standards for Certification of Federally Supported Day Care," was written by Richard R. Rowe, Ph.D., who is Vice President of the American Institute for Research in Cambridge, Massachusetts.

A fifth paper, "The Enforcement of Child Day Care Licensing Standards: With Special Reference to Revocation," was written by Norris E. Class, M.S.W., Professor Emeritus, University of Southern California, and Rolland C. Gerhart, Jr., former Director of the Vermont Office of Child Development, now Supervisor of Licensing, Vermont Department of Social and Rehabilitation Services, Licensing Unit, with the assistance of Rudolf H. Michaels, Ph.D., Administrative Law Judge, California Office of Administrative Hearings, Sacramento, and Professor Walter Wadlington of the School of Law, University of Virginia, Charlottesville.

Sheila B. Kamerman, D.S.W., who is Co-Director of Cross-National Studies at Columbia University School of Social Work

and Associate Professor for Social Policy at the Hunter College School of Social Work, City University of New York, wrote the sixth paper, "Licensing, Standards, and Regulations in Child Care Programs in Europe, Canada, and Israel."

FEDERAL DAY CARE STANDARDS IN CONTEXT*

by

Gwen G. Morgan

EXECUTIVE SUMMARY

Overview

During the past eight years, debate over the role of the Federal Government in setting day care standards has become increasingly emotional. In order for national decisionmakers to develop coherent policies for children, goals for publicly funded day care must be more clearly defined, and the same words must be used in the same way. Only a solid national consensus can produce an enforceable set of standards. This paper provides a conceptual framework for defining the purpose and implications of Federal day care standards, and an historical analysis of the events that have shaped the current Federal role in day care regulation.

Formulation of Federal Standards

Failure to distinguish among many different types of standards has led to confusion and lack of consensus. The author diagrams different levels of quality, distinguishing among three major types of standards:

- Accreditation standards for model programs, representing a ceiling of quality, which can be raised over time
- Funding standards for subsidized programs, which must meet specifications to achieve public goals
- Licensing standards for all programs, which define a "floor of quality."

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* This paper and the one following were originally one paper, "Federal Day Care Standards and the Law."

The word "minimum" in regulation does not mean "low" but "least acceptable." The minimum could be set very high or very low. The author indicates that since FIDCR provides funds for meeting standards, its minimal level of quality can logically be set at a higher level than most State licensing codes.

The author identifies two current differing philosophies for establishing the minimums in licensing:

- Minimum for life safety and health
- Minimum for positive contribution to nurturing growth.

The second rationale is recommended for FIDCR. The rate of State reimbursement for day care will determine the capability of programs to meet Federal standards.

Formulation of both licensing and funding standards must provide for two major legal principles:

- Due process
- Interest representation.

This necessary process for standard formulation is one of the strongest legal bases for defense against challenge to the standards. The other, less strong bases are described as: (1) Expert judgment, (2) hard scientific data, and (3) common practice.

Outside the field of human services, there is disenchantment with regulation. Some potential dangers in human service standards as seen by the legal profession are:

- Federal standards could inhibit State and local communities from setting higher standards.
- Standards could result in uniformity, destroying valuable cultural differences and impeding diversity of program philosophies.
- Standards for staffing would professionalize child rearing, undermining parents.
- Standards could result in excessive red tape for measuring and monitoring.

- Standards for subsidized children could increase day care costs to unsubsidized children, denying them needed services.

Society needs high quality day care standards as goals. However, when standards are to be enforced by law, they must approximate the state of the art in the field. Goal standards can be used as vehicles for social change; licensing and funding standards cannot.

History of Day Care Standards

During the latter 19th century, concern about conditions for children resulted in the passage of State licensing laws. The author outlines the history, and the reasons why there was no systematic attempt at enforcement until the late 1960's. She traces a major change from a common use of goal standards to contrast with actual conditions as a way of highlighting need for social change, to today's legal climate in which legally mandated standards must be enforced uniformly.

In 1967, the Economic Opportunity Act was amended to require "a common set of program standards" for all federally subsidized day care programs, including "Project Head Start." Since Head Start standards as spelled out by Congress are for a compensatory program, the effect of adopting common standards is that the FIDCR have also become compensatory standards. The author questions this approach for the children of working families under Title XX.

The administrative history of FIDCR reveals some major problems in enforcing FIDCR because:

- HEW expected State enforcement without a great deal of Federal monitoring.

- FIDCR is administered by two separate agencies in HEW without high level provision that they carry out their respective roles effectively.

During this time, the States have begun to improve their enforcement practices for licensing substantially, although there has been massive slippage in implementing some of the FIDCR, particularly staffing ratios.

The historic development of more effective enforcement through day care licensing, and the action of Congress in writing FIDCR into Title XX requires that child advocates clarify goals and examine assumptions. Regulatory rhetoric

can no longer mask basic differences. Without a public consensus of support, neither type of standard can be enforced. The author suggests the need for resolving issues such as:

- What is the purpose of day care, and at whom is it aimed?
- Are FIDCR enforced for all children in federally subsidized day care programs, or only for the subsidized children?
- Does the effect of FIDCR on costs to unsubsidized parents create a serious policy problem?
- What should be the Federal role in monitoring State rate-setting processes?

In conclusion, the author suggests that standards and day care be viewed in the context of broader societal issues. There is a need for societal support to the family. Day care is a part of family policy in a context of what the policy is for income support and economic opportunity. The basic questions of universal accessibility of day care services and of entitlement to day care assistance for parents who need it must be addressed.

The country's involvement in day care has tended to reinforce the economic exploitation of the poor. A fairer approach to work-related day care would be to use parents' earnings only as the basis for fees to be paid, and not as a basis for eligibility. Priority eligibility should be determined by need to work, not by earnings; otherwise, there is no economic opportunity.

Quality child care is within the reach of this country if it can be separated from repressive economic policies and a consensus reached in support of the family.

FEDERAL DAY CARE STANDARDS AND THE LAW

by

Gwen G. Morgan

EXECUTIVE SUMMARY

Overview

This concept paper examines several legal aspects of the Federal Interagency Day Care Requirements (FIDCR). The author examines a variety of potential legal bases for Federal standards and finds that the FIDCR are purchasing specifications defining the level of quality required for federally subsidized day care, necessary for accomplishing the goals of the subsidy. The FIDCR are neither Federal licensing nor Federal child protection.

Other legal issues explored in the paper are: The scope of potential legal challenges to FIDCR and the relationship between FIDCR and State licensing standards. The paper includes a comparative analysis of State licensing standards and proposes a set of recommendations for improving FIDCR.

Scope of Potential Legal Challenges to FIDCR

Careful analysis of the potential grounds for challenging FIDCR as a whole reveals that they could not be successfully challenged in a lawsuit. The scope of legal challenges to FIDCR is therefore limited at present only to the interpretation and application of individual requirements. Possible grounds for such suit would be:

- Failure of the FIDCR to meet constitutional tests of clarity, practicability, or greater goodness
- Failure to enforce the FIDCR
- Selective or discriminatory enforcement of the FIDCR
- Arbitrary or capricious use of discretion by the enforcer

- Denial of services, or unduly high costs to non-subsidized families because of the effect of rate setting.

Family day care presents special enforcement problems for FIDCR. While FIDCR requires licensure in States with licensing laws, most States having such laws have licensed only 10 percent of family day care. This is not an acceptable level of law enforcement, yet licensing in traditional ways would require massive additions of staff. In addition, the right of the government to inspect a private home without consent may in the future be ruled unconstitutional.

The FIDCR are discussed in detail, with three major concerns:

- Wording is often vague and unclear.
- Definitions of the "administering" and "operating" agency do not quite fit the present delivery system and have not established clear accountability between State and local welfare offices and program providers.
- Since 1968, the requirements have been widely waived.

FIDCR's Role in Relation to State Licensing

Licensing standards are developed in response to State laws governing permission for any day care program to operate, regardless of whether public funds are spent, while FIDCR are mandated by the Congress and apply only to programs serving children who are Title XX subsidized.

The author finds logic in having two levels of standards, one for basic permission to operate legally, and the other specifying requirements for the use of public funds. However, in practice, these two sets of standards have resulted in vast public confusion and the undermining of both regulatory strategies. The author suggests that if one level of standards were adopted to remove the confusion, the most likely approach for the Federal Government would be to rely on State licensing standards. It is not feasible to attempt to impose Federal standards on State licensing, when so small a proportion of the children affected receive Federal funds.

State of the Art in Day Care Licensing

The author notes that as a result of changes in legal climate, day care licensing underwent extensive changes in the

1960's, particularly in the areas of standard setting and enforcement. Federal guidance materials and small grants to States have also encouraged changes.

Comparative data is never valid, since it is common and desirable for States to review and revise their standards every five years, and they are on a staggered timetable for that lengthy process. As of 1974:

All States licensed day care centers, but regulatory arrangements for family day care were less uniform.

The majority of States used the following child-staff ratios:

- Children under 2 years old: 4-1 to 6-1
- Children 2 to 4 years old: 10-1
- Children 5 years old: 7-1 to 30-1
- Children above 5 years of age: 10-1 to 30-1.

Requirements for staff qualifications among States were as follows:

Twenty-seven States required center supervisors to have formal training or experience in child development.

Thirty-two States had similar requirements for child care staff.

Thirty-three States required or recommended educational materials for centers.

Initial and current health examinations were required by 25 States. Space requirements were generally 35 square feet indoors and 75 square feet outdoors per child.

States are demonstrating a trend toward higher standards and greater uniformity in formulating licensing requirements.

Options and Recommendations

The FIDCR are a strategy for achieving a level of quality in federally funded day care. While it is clear that the strategy has resulted in higher quality than would otherwise have been the case, they have been widely waived and ignored in many places. It is wise to revise and improve strategy and standards about every five years, and this current strategy is now being reexamined. A successful strategy for the next five years will have to balance the resources available, the external

constraints or opportunities, and the goals. The paper addresses these factors.

Some possible options for the Federal role in day care regulation include:

- Total elimination of regulation at the Federal level
- Acceptance of the status quo
- Contracting with State licensing offices or funding offices for monitoring of federally funded programs.

The author indicates that upon analysis of these options the greatest potential for success appears to lie in contracting with State licensing offices, because of the potential for reinforcing the two regulatory strategies. The following recommendations pertain primarily to this cooperative arrangement:

- The Federal Government should not attempt to dictate State licensing standards but should restrict its action to children receiving Federal funds.
- There should be established at the State level a Title XX process representing all interests for developing funding standards.
- The language for FIDCR should be made more specific, and FIDCR should serve as guidance material.
- There should be two types of staffing ratios--one basic ratio to meet the needs of all children, and one compensatory ratio for children who are disadvantaged or have special needs.
- There should be a "safety net" limit to what staffing ratios would be acceptable to the Federal Government.
- States should be required to develop a fair method of reimbursement based on documented costs of meeting standards.
- States should be required to link rate setting and reimbursement with inspection and quality control.
- States licensing staffs under certain conditions should be contracted to monitor FIDCR as well as to license.
- Training should be provided for State licensing and monitoring staffs, particularly in regulatory concepts.

- To stimulate greater use of the regulatory process by the public, education or technical assistance should be provided for citizens and consumer groups concerning standard development, consumer rights, and complaint procedures.

- Technical assistance should be provided for States in methods of correcting dysfunctional fragmentation among licensing, health, fire safety, building safety, and zoning.

- Volunteer consumers, in carefully defined ways, should be included in the monitoring process.

- The regulatory process should "go public" through the dissemination of inspection reports to the press and interested groups, and in other ways.

The author makes some of the above recommendations tentatively because she believes that the overriding consideration should be consensus building, if any regulatory strategy is to work.

She observes that consideration must be given to the relationship of State licensing to the final method adopted for monitoring FIDCR. Through its day care policies, this country has expressed a continuing commitment to the private sector. Since licensing will affect all private programs, while monitoring of funding will apply only to subsidized children, these processes should strengthen and enhance one another if a viable and credible national day care regulatory program is to be created.

THE CHALLENGE OF CHILD DAY CARE NEEDS AND IMPROVED FEDERAL AND STATE APPROACHES TO DAY CARE STANDARD SETTING AND ENFORCEMENT

by

Lela B. Costin, Mary Dublin Keyserling,
William L. Pierce, and Walter Wadlington

EXECUTIVE SUMMARY

Overview

This paper examines the magnitude of the need for quality day care services, and the history and present status of day care regulation. The major focus is on ways in which Federal and State approaches to day care standard setting and enforcement might be improved and Federal-State cooperative efforts enhanced. An appendix is also provided which presents a detailed analysis of the legality of Federal participation in day care regulation.

The Magnitude of Child Day Care Needs

One of the most urgent unmet social needs today is the need for the substantial expansion and improvement of child day care services, especially for the 7 million preschool-aged children whose parents are employed, and for many of the 14 million additional children, aged 6 through 13, with working mothers, for whom afterschool care is vital. To meet the need for child day care, there were available as of 1975 licensed or approved out-of-home services for an estimated 1.7 million children, including those whose mothers were not employed. Despite a substantial increase in the number of children served by such arrangements during the past decade, the increase in the number of children with working mothers needing care was much greater. The shortage of licensed or approved out-of-home day care available for them, already acute 10 years ago, has thus intensified.

The authors note that growing concern with respect to the day care shortage and the quality of services provided has emerged, as well as an intensified desire on the part of many citizens and child service organizations to promote a more effective approach by local, State, and Federal govern-

ments to the establishment of child care standards and their enforcement.

The History of State Day Care Regulation

Licensing of day care programs developed relatively recently among the States compared to foster care licensing, which began in the 19th century. This difference reflects the greater weight given to parental responsibility in day care and a general reluctance to intervene in arrangements parents make privately for the part-time care of their children. Day care facilities existed in the United States in the 1830's; their numbers increased during the Civil War and especially during World War I. During the 1930's, many day care facilities came about under Federal anti-Depression programs. World War II brought a rapid increase in the number of women in the work force--and in the number of child care centers and family day care homes--an increase that continues today.

In the 1960's, several Federal actions provided added impetus for State day care regulation: Intensified promotional efforts on the part of the Children's Bureau; the establishment of Head Start in 1964, followed by other child care assistance programs; and the 1967 amendments to the Social Security Act, which made Federal matching grants for social welfare services, including day care, available to the States.

In 1968, the Federal Interagency Day Care Requirements, governing day care services funded by the Federal Government, required all such services to meet State licensing standards and to meet Federal standards with respect to child-adult ratios, group size limits, and health, nutritional, and social services, among other provisions. Their promulgation did much to advance day care standards throughout the country, as did the drafting of several model State day care licensing acts. By mid-1975, every State and the District of Columbia had laws requiring the licensing of day care centers; all but three required family day care homes to be licensed, certified, or approved.

Congressional action earmarked $200 million more in Federal funding for day care under Title XX for fiscal year 1977, to assist the States in improving health, safety, and staffing standards, and at the same time suspended until October 1, 1977, the FIDCR staffing requirements, pending the development by HEW of recommendations with respect to the

appropriateness of Federal standards. As of the time of writing, both Houses of Congress had passed a measure, now awaiting conference action, that would extend until January 31, 1978, both the additional earmarked day care funds and the suspension of FIDCR staffing requirements.

Day Care Regulation Today

Today the various statutes regulating day care services stipulate or recommend:

- The minimum and maximum number of enrollees
- The size of class groups
- Adult-child ratios
- Physical structure of facilities
- Reports and records
- Building code requirements.

Many States set standards for facilities caring for infants, toddlers, and handicapped children. A limited number of statutes also relate to staff qualifications, child health and nutrition, and program content.

While all but a few States now regulate family day care homes, only a small percentage of these homes are actually licensed, certified, or monitored. Only a small percentage of centers throughout the country are not regulated today by the States.

The authors attribute the great variation in State licensing standards and procedures primarily to differences in economic, social, and legal conditions. In part, it also reflects the absence, when licensing standards were initially promulgated, of model standards and regulatory language, which existed in the history of regulation in other legislative areas. The statutes of most States fall short of the quality guidelines set forth in FIDCR and other Federal measures, and thus, are less than what is generally held to be adequate to protect children satisfactorily.

The authors observe that cost has been the major factor in inhibiting improvements in State and local licensing

standards. Directly subsidized care has been aimed almost exclusively at low-income families. Many States have been forced to accept substandard day care because funds have not been available to subsidize care for other families, relatively few of whom can afford the full cost of quality services. This situation has, in turn, led many State officials to rationalize the lack of funds or inadequate standards through weak enforcement.

Improving State Day Care Regulatory Procedures

The authors cite basic problems within the State and local licensing process that should be confronted and alleviated. They include:

- Problems in interrelationships of agencies involved in day care regulation at the State and local levels
- The need for more and better trained licensing staff
- The need for uniform application of standards
- The need to assure fairness and interest representation in the formulation of mandatory standards.

In regard to agency interrelationships, the authors suggest that increased simplification and a more standardized approach could help coordinate the efforts of the many agencies involved in the regulation of each facility. This could involve, among other approaches:

- An HEW-maintained clearinghouse of information to further discussion of common problems and varying approaches, and to share experiences
- Interagency committees at the State and local levels to seek agreement on the improvement of regulations and procedures
- Joint workshops of interagency personnel to inform staff members of their mutual responsibilities

- Involvement of special interest agencies--such as that for mental health--in monitoring the program for which they contract

- Development of the licensing program as a community-wide system, rather than a one-to-one relationship

- Appropriate training for licensors to develop strong supervisory and consultative skills

- Written manuals for both day care personnel and parents outlining requirements and standards.

Recommendations to help alleviate the need for more and better trained licensing staff include:

- Federal funding be made available to hire and train more licensing personnel

- The status of licensing personnel be improved through proper inservice training, clarification of licensing duties, recognition of the special skills needed, development of university-level licensing courses, use of written tests on licensing standards and practices, and periodic State and regional meetings of licensing staffs to discuss mutual problems and current policies.

The authors emphasize the need for uniform application of standards in order to assure equal treatment of licensed applicants. Steps that might help improve that situation include:

- Establishment of a hierarchy of standards under which certain standards are deemed more important than others and thus carry higher penalties for for infractions

- Use of a second licensor in marginal situations to work with the first in developing an appropriate recommendation

- Development of better licensing appraisal forms

- Maintenance among the licensing staff of a consensus of the meanings of standards and how to measure compliance with them

- Development of safeguards to prevent excessive compromises in standards setting that may harm children.

To assure fairness in rulemaking, the authors stipulate that standards must be developed with the participation of those who will be required to meet them. Those standards must be formulated as much as possible in relation to specific desired objectives, and the means to attain those objectives must be identified.

The Federal Role

In order to provide quality day care that meets the physical, mental, and emotional needs of children, the authors indicate that it would be necessary to enact Federal legislation to make available to the States and localities substantially increased Federal grants to assist them in improving day care program quality and in making their enforcement of standards effective, and to provide free care for low-income families, and low-cost care, scaled to income, for moderate income families. In addition:

- The Federal Government has essential responsibilities in the standards setting area that should be retained and improved.

- HEW, in developing its report to Congress with respect to FIDCR revision, should involve the members of the Review Committee which has been appointed and should convene a working conference of child care and other experts to discuss possible changes.

- To be eligible for Federal funds for day care services and the improvement of day care regulation, each State should adhere to Federal standards with respect to funded programs and should develop a day care licensing plan. This plan should give a factual account of the present status of licensing administration, contain objectives for its improvement, and include a timeframe for achieving them.

- Federal standards, to be productive, should be applied within the framework of an individual State plan and be monitored by the State.

- Continued Federal funding should be contingent upon evidence of the plan's implementation and of effective progress toward agreed-upon goals.

- The Federal Government should develop guidelines setting minimum and mandatory standards for licensing relating to such matters as group size, adult-child ratios, staff training and qualifications, and physical facilities.

- To facilitate Federal-State collaboration in raising the national level of day care, HEW should establish a representative day care advisory body to help reach agreement on principles and action to be taken.

Supporting arguments concerning the legality of Federal regulation of child day care facilities are developed in Appendix A. Alternatives to present-day State licensing approaches are discussed in Appendix B.

ALTERNATIVES TO FIDCR: THE FEASIBILITY OF STATE STANDARDS FOR CERTIFICATION OF FEDERALLY SUPPORTED DAY CARE

by

Richard R. Rowe

EXECUTIVE SUMMARY

Overview

This paper discusses some of the possible alternatives to the Federal Interagency Day Care Requirements (FIDCR). Specific attention is focused on the feasibility of developing State standards for certification of federally supported day care. The implications of such a policy are examined, and a description is provided of the manner in which a State certification system could function.

The author notes that nearly a decade after their enactment, the FIDCR are still not uniformly implemented, and their future is uncertain.

He cites the following options the Federal Government could pursue in establishing regulations for federally funded day care programs.

- If the FIDCR staffing standards are retained and enforced, additional Federal funds will be required to prevent widespread closing of day care centers throughout the country.
- If the FIDCR are revised, three major options merit consideration:
  - Reduce the minimum staff-child ratios required by FIDCR.
  - Develop a set of guidelines to be used by States in the development of their own certification standards.
  - Require only that State licensing standards apply to programs receiving Federal funds.

Major Policy Issues

The author outlines the following policy issues that must be addressed when considering possible alternatives to the FIDCR:

- Criteria for evaluating options - The criteria that should be used to assess the merits of the various policy options for Federal day care regulations include:
  - Degree of responsiveness to the interests of consumers as well as administrators
  - Cost effectiveness
  - Adequacy of procedural and nondiscrimination safeguards
  - Consistency with legislative intent
  - Federal and State constitutional roles.
- Federal goals - Federal goals for day care are unclear. It is necessary to determine what combination of quality and quantity the Federal Government is prepared to support in federally funded day care programs.
- The functions of standards - It is important to distinguish among the different types of standards:
  - Minimum standards for operation
  - Purchasing standards which are the conditions for funding
  - Model standards which represent optional quality for certification.
- The legal status of Federal regulations - Standards established by the Federal Government must be constitutional, and therefore cannot be imposed on State licensing regulations or on day care programs that are not federally funded.
- State role in regulation - The controversy concerning this issue must be resolved. Proponents of State development of certification standards contend that it would upgrade the quality of State regulatory services, and that those who are regulated should

participate in standard development. Opponents argue that State officials are influenced by local political pressures, lack necessary specialized knowledge and skills, and will not give sufficient priority to regulation.

- Education, the schools, and day care - The desirability must be assessed of the increasing number of early childhood programs provided public schools, particularly since day care standards are not applicable to public schools, and such programs will fall outside the regulatory process.

Certification Standards: Possibilities and Problems

In this section, the author describes how a State certification system could work if it were adopted by the Federal Government. He examines possible procedures for developing certification standards, possible content for these standards, and possible ways of implementing them. The term, certification standards, refers to the standards developed by each State, according to Federal guidelines, that apply to all federally supported day care in that State. Licensing standards refer to standards developed by the State that apply to all organized day care in the State, whether or not Federal funds are involved.

Under the certification plan proposed by the author, each State would be required to develop its own standards of federally supported day care, following Federal guidelines. The guidelines would specify Federal day care goals and establish the process that States would be required to use in developing certification. The following are some of the elements that could be addressed in the guidelines:

- Federal day care goals
- Interest participation
- Administrative accountability - Final responsibility for the promulgation of standards would be with the State administrator responsible for day care licensing standards.
- Open process - Hearings could be held throughout the State in order to ensure broad public discussion and participation in the development of standards.
- Dissemination of standards - The standards that are finally developed, together with a rationale for them, should be broadly disseminated throughout the State.
- Periodic review - At least once every four years the

certification standards would be formally reviewed and revised as needed by a duly constituted task force.

The guidelines would also require States to include the following elements in their certification standards:

- State day care goals - State policy concerning the use of Federal day care funds should be consistent with Federal day care policy.

- Specific standards - Policy would be established for each component specified in the guidelines, such as:

  - Health and safety requirements
  - Staff numbers, ratios, entry skills level
  - In-service training of staff
  - Parent involvement and education
  - Protection of ethnic/cultural diversity
  - Protection of civil rights
  - Self-evaluation procedures and schedules
  - Recordkeeping and the right to privacy.

- Federal approval - State certification standards could be subject to Federal review and approval.

- Minimum standards - Without a Federal minimum for certain day care program characteristics, some States would adopt certification standards that would be substantially the same as their licensing standards. However, a set of Federal minimum standards might also function as a ceiling. One possible solution to the problem is for the Federal Government to promulgate both a minimum and a model standard in the guidelines. The HEW licensing guidelines could be used as a minimum standard, while the FIDCR or an appropriate revision could be established as a model standard.

- Family day care standards - The widespread use of family day care and its apparent appropriateness in some cases warrants that Federal funds should be available for family day care. States could be given the option of registration for homes or certification of family day care systems (groups of family day care homes).

The requirements for the implementation and monitoring of the certification standards would be established by the Federal Government. Federal monitoring standards would be limited to those items considered essential, such as:

- Staff - The number and qualifications of staff who monitor federally supported day care programs would be set by the Federal Government.
- Program support - Each staff would be required to provide monitoring and support to day care programs including:
  - Regular monitoring visits
  - A formal procedure for denial of certification
  - Sanctions for noncompliance
  - Rate setting
  - Cost analysis.
- Program audit and record maintenance - Each State would be required to have an audit system involving both financial and programmatic reviews. A uniform set of data files would be maintained by the State agency responsible for implementation of certification standards.
- Federal support - Federal funds would be made available to support the cost to the States of federally required monitoring and record maintenance.

The Federal role envisioned by the author in the State certification program would consist of the establishment of explicit day care policy integrated with Federal funds to support that policy. In addition, the Federal Government would provide both financial and technical support for the development and implementation of certification standards. Finally, HEW-appointed review teams would have the primary responsibility for reviewing and approving proposed State certification standards and for monitoring their implementations.

Cost of State Certification Procedures

A framework is provided by the author for estimating the costs of State certification procedures. He notes that the major element in the cost of day care is the cost of staff, and the cost implications of the staff-child ratios in the FIDCR have been the greatest deterrent to the implementation of the FIDCR.

It is impossible to know what the effects would be on the unit cost of day care under a State certification plan. It seems reasonable to expect that most States would not adopt standards that would greatly increase the per-child cost of day care unless there were additional funding. Thus, State certification, without additional Federal support, would probably result in substantially the same cost per child that is now experienced with Federal funds.

According to the author, only broad estimates of the direct and indirect costs of developing certification standards can be made. He indicates that it seems reasonable to assume that the direct cost of developing certification standards, including meetings, hearings, and staff time should not exceed an average of $50,000 per State. The indirect and hidden costs would be much more.

Rough estimates of the cost of monitoring and compliance with State certification standards included: $50,000 per State for training expenses and $200,000 per State for the average incremental cost of monitoring.

The author estimates the total cost of the Federal monitoring process at $500,000 a year.

Conclusion

The author concludes that a process of State certification of federally supported day care would be technically feasible and not prohibitively expensive. The proposed system of State certification would require a modest increase in Federal support for State monitoring of day care, which would also be required in order for the FIDCR to be implemented adequately by the States.

THE ENFORCEMENT OF CHILD DAY CARE LICENSING STANDARDS: WITH SPECIAL REFERENCE TO REVOCATION

by

Norris E. Class and Rolland C. Gerhart, Jr.,
with
Rudolf H. Michaels and Walter Wadlington

EXECUTIVE SUMMARY

Conceptual Framework

Child day care represents a major shift from total reliance on the child's biological parents for child rearing to a system of multiple parenting. Child day care licensing is the primary legal regulation through which this 20th century approach to child rearing is safeguarded. Historically, licensing development has been characterized by inadequate conceptualization and planning. As a result of these inadequacies, child day care licensing standards are faulty and generally are not enforced. The failure to conceptualize clearly the enforcement process, particularly revocation of the license, is primarily responsible for the faulty and underenforced standards.

The most important pragmatic value of any conceptual analysis is the sense of operational direction which such an analysis provides. A conceptual analysis of the enforcement of child day care licensing standards provides a sense of operational direction for the identification and resolution of existing inadequacies in the development and enforcement of licensing standards.

The Functional Nature of Licensing

The basic function of child day care licensing is to reduce the risks to children in facilities which provide supplementary child care in the absence of the parent during the day. The licensing of child day care facilities is most similar to the public health model of prevention through manipulation of the environment to reduce vulnerability to

specific hazards of care. Risks or hazards are reduced by requiring that certain standards be met prior to official approval for operation. Signing the license application grants the State permission to conduct a regulatory investigation to determine the extent of compliance with the standards. The overall function of enforcement is to assure compliance with licensing standards wherever jurisdictionally covered child day care operations are administered.

Enforcement Operations

Enforcement must be recognized as a triad of the following administrative activities:

- Positive enforcement of standards in the form of postlicensing supervisory visits to assure compliance and reduce the possible need for litigation pursuant to formal revocation

- Negative enforcement of standards in the form of denial, nonrenewal, or revocation of the license when regulatory investigation has determined noncompliance with standards

- Suppression of illegal operations (usually operation without a license) for which the legal basis is often the criminal law as opposed to the civil law.

At present, revocation is the greatest operational challenge in the enforcement of child day care standards. During the revocation process, particularly during an administrative hearing, the community conducts an assessment of the extent to which the State may safeguard children in facilities following official approval through licensing.

Major Policy Issues in Enforcement: Propositional Statements

The following propositional statements identify the major policy issues associated with the task of improving and strengthening the enforcement of State child day care licensing standards. These statements provide direction for designing a model child day care licensing enforcement program:

- The traditional placement of day care licensing responsibility in State welfare departments has no doubt resulted in decreased community understanding and constituency support for licensing. Because the administrative location of licensing

responsibility is a critical element of enforcement, policy planning is needed to determine the best location.

- Administrative operations of child day care licensing, particularly enforcement actions, should be centralized in the State government headquarters.

- An adequate number of licensing workers to make skillful observations is essential for sound enforcement administration.

- Effective and efficient implementation of child day care licensing standards require specialization of enforcement personnel.

- Statutory authorities and administrative operations for provisional licensure should be significantly refined.

- In many States, the process for renewing the child day care license is operationally confused and needs to be refined or replaced.

- Sound enforcement of licensing standards rests on sound complaint administration.

- Measures short of revocation are needed in day care licensing enforcement.

- Neither revocation nor other forms of negative enforcement should be initiated by licensing staff without consultation with proper legal counsel and other specialists.

- Competent hearing officers are key to proper enforcement operations.

Role of the Federal Government in State Licensing Enforcement

The provision of adequate and proper child day care services is primarily an administrative responsibility of State government, which should be shared with local and community groups. Likewise, the basic safeguarding of child day care through regulatory measures must be viewed as a primary responsibility of the State. The role of the Federal Government in the enforcement of State child day care licensing standards should be secondary or supportive to the State regulatory agency. In this secondary or supportive role, the Federal Government should provide the following:

- Professional leadership
- Technical assistance
- Incentive grants to refine, strengthen, and expand child day care licensing administration in general and standards enforcement as a priority.

Incentive grants should be based upon an approved State plan jointly formulated by the State and Federal Governments.

Conclusion

The FIDCR do not constitute a licensing program, and from a classificatory point of view, the FIDCR may be regarded as a fiscally regulated program of administration. If compliance is not established and maintained, Federal payments must be withheld.

The FIDCR idea is not necessarily wrong or inappropriate. The regulatory administrative aspects of the FIDCR simply were not properly addressed. If the current FIDCR are continued or modified, the postregulatory administration must be recognized as faulty; and faultiness must not be tolerated in the future.

Enforcement must be more clearly conceptualized to provide a more appropriate operational direction for improved and enforceable standards. A well-developed system of State child day care regulatory agencies is a critical determinant of the successful administration of any FIDCR-type program. Such a system must be operated in an effective, efficient, and economical manner. State regulatory agencies must be invested with adequate statutory authorities and adequate staff and must be committed to the development of enforceable standards. High-quality and reliable investigative operations and wholesomely vigorous and equitable enforcement must persist. These elements are essential to ensure that day care licensing is not merely a ritualistic mockery of safeguarding operations.

LICENSING, STANDARDS, AND REGULATIONS IN CHILD CARE PROGRAMS IN EUROPE, CANADA, AND ISRAEL

by

Sheila B. Kamerman

EXECUTIVE SUMMARY

Overview

The paper reports comparative data on standards and regulations for child care programs in 11 countries: Canada, Denmark, Finland, F. R. Germany, France, Israel, Italy, Poland, Sweden, The United Kingdom, and Yugoslavia. The author assembled some of the data as a byproduct of other activities and collected others specifically for this report through a questionnaire. She has made on-site visits to child care programs in every country but Yugoslavia.

She warns the reader, however, that this report has been limited by contractual specifications as well as by the monetary and time constraints of the FIDCR Appropriateness Study. She believes that, despite these limitations, the data presented are significant, relevant, and not lacking in range or scope.

Focus of Report

The author has attempted to determine whether each of the subject countries has standards or regulations for child care. She examines the nature of those standards that exist and attempts to identify the criteria or factors that influence the development of different standards. She identifies the level of government that promulgates the standards and, to the limits of her data, examines to what extent the standards are enforced and by what agency.

Vocabulary

In the paper, the term, standards, is used to describe rules set by governmental authorities in order to control

the quality of child care programs. No country included in the study has standards in all areas, nor does any country totally lack standards.

Licensing is used to mean formal permission from government authorities for an individual or organization to operate a child care program. Licensing has far more limited use than do standards in the countries described because most programs in most of these countries are funded and operated by public authorities in the same way that public schools are operated in the United States. Such licensing as does occur is used in relation to programs operated under private auspices.

In some countries registration is used to regulate family day care mothers who must meet certain minimum standards in order to register. Registration is required for individuals who wish to receive public subsidy.

Enforcement means compulsion by governmental authorities of maintenance of standards in child care programs. Where the same level of government sets standards and operates programs, the issue of enforcement does not arise. Where different levels of government are involved, funding may be contingent on meeting standards.

The term, child care program, is used to describe all types of daytime, out-of-home provision for normal children under compulsory school age. (For all countries except Canada, The United Kingdom, and Israel, "day care" is used to describe only the care of children under 3.)

The author describes three models of child care programs:

- Two or more parallel systems, both serving the whole age group from birth to school age (typical of Canada and The United Kingdom). One system stresses "care," and the second stresses an educational function.

- One integrated child care system for all children under compulsory school age (typical of Sweden and Finland).

- Two age-related systems (typical of France, Poland, F. R. Germany, Denmark, Italy, Israel, and Yugoslavia). One system is usually for children under the age of 3 and stresses the care function and child socialization and development.

The other is usually for children aged between 3 and school age and emphasizes educational goals in addition to other goals.

General Summary

Child care programs are far more extensive in most of Europe and Israel, if not in Canada, than they are in the United States. The majority are under public auspices, supported by public funds. Standards, even for similar types of programs, vary substantially among all countries.

Most industrialized countries in Europe have already taken a clear and consistent position in support of pre-school programs for all children from the age of about 3 to compulsory school entry.

At the same time, paid maternity leaves are increasingly being provided for employed women, permitting them to remain at home and care for their infants for some months after childbirth. As a result, the major gap in child care in most European countries, now, is for those children between the ages of about 6 months and 2 or 3 years.

Conclusion

It seems clear that in countries where standards are set at the national level, there is greater consistency, and child care programs are apt to be of comparable quality regardless of geographic locations. Compliance with, and enforcement of, standards seem to have less to do with the level of governmental responsibility than with the attitude and approach taken toward enforcement. Countries in which child care is universal seem more likely to enforce standards.

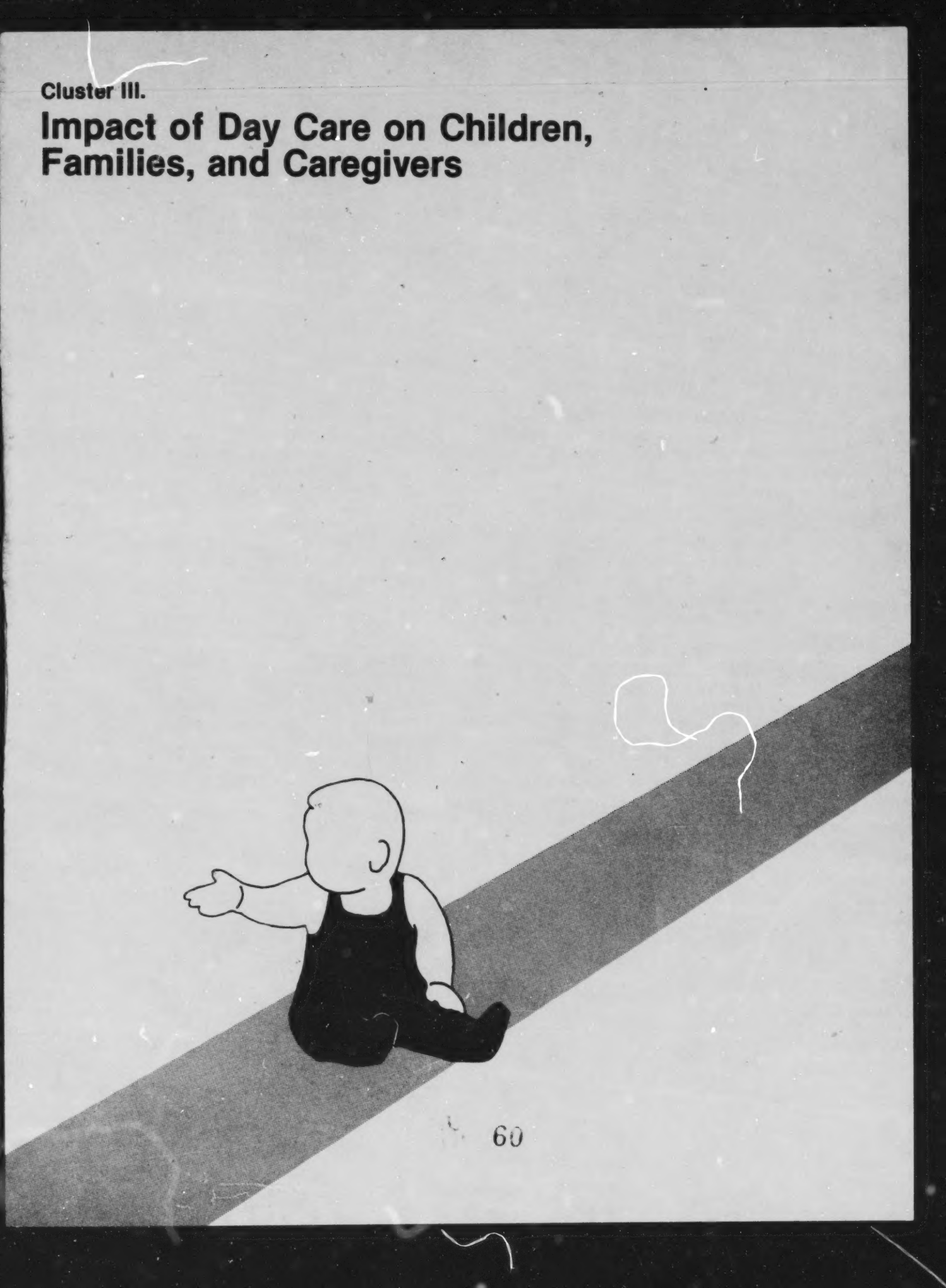
Most countries set standards regarding physical safety, space, the age range and maximum number of children served, staff-child ratios, and staff types and qualifications. Health, mental health, and social service standards are not usually mandated as part of child care programs because nationally provided, locally based maternal and child health services exist in almost all these countries.

The author can discern neither a consensus among countries nor any pattern to the content of standards in different categories. The only consistent finding is that countries support a hierarchy of staff-child ratios that is related to the ages of the children. The highest ratios apply to the youngest children (varying from 1-2 to 1-10 for 1-year-olds and under) while the lowest apply to the

oldest children. Regardless of the rationale (and the author notes that there usually is no rationale) there does not seem to be any clear justification for supporting more or less staff for a given number of children. Decisions seem to be country-specific and may reflect economics, politics, traditional practice, or common sense. There does not seem to be systematic research in any of these countries regarding the effects of different standards; however, there is growing interest in this subject, and some countries are initiating research.

Cluster III.

Impact of Day Care on Children, Families, and Caregivers



"Day Care in Context: An Ecological Perspective on Research and Public Policy," by Urie Bronfenbrenner, Jay Belsky, and Laurence Steinberg

"The Effect of Day Care on The Infant," by Jerome Kagan

"The Effects of Infant Day Care Experience on Behavior and Development: Research and Implications for Social Policy," by Henry N. Ricciuti

"Infant Day Care and the Family: Regulatory Strategies to Ensure Parent Participation," by Greta G. Fein

"Staffing Characteristics and Child Outcomes," by William J. Meyer

"The Effects of Day Care on Preschoolers and the Provision of Support Services for Day Care Families," by Christoph M. Heinicke and Larry H. Strassmann

"The Evaluation of Existing Federal Interagency Day Care Requirements: Day Care for the School-Age Child," by Joan M. Bergstrom and Donna L. Dreher

"Multigenerational Day Care," by Paul A. Kerschner and Pamela J. Harris

"The Relationship of Staffing Characteristics to Child Outcomes in Day Care," by Ura Jean Oyemade and Michele Chargois

"Health and Safety Issues in Day Care," by Susan S. Aronson and Peggy Pizzo

"The Effects of the Physical Environment on Day Care," by Elizabeth Prescott and Thomas G. David

"The Effects on Children of the Organization and the Design of the Day Care Physical Environment," by Charito Kruvant, Ginny Redish, and Diane Trister Dodge

INTRODUCTION TO CLUSTER III. IMPACT OF DAY CARE AND CHILDREN, FAMILIES, AND CAREGIVERS

The 12 papers in this cluster explore the impact of day care on children, their families, and the day care providers themselves, with emphasis on the following aspects:

- Families and the society at large
- The development of infants and preschoolers
- Parent involvement
- Child-staff ratios
- After-school programs
- The elderly as caregivers
- Day care center staff
- Health and safety
- The physical environment.

Three persons wrote "Day Care in Context: An Ecological Perspective on Research and Public Policy": Urie Bronfenbrenner, Ph.D, Professor of Human Development and Family Studies and Psychology of the College of Human Ecology, Cornell University, Ithaca, New York; Jay Belsky, M.A., a doctoral candidate in the Department of Human Development and Family Studies, College of Human Ecology, at Cornell; and Laurence Steinberg, Ph.D., who is with the Program in Social Ecology, at the University of California at Irvine.

Professor Jerome Kagan of the Department of Psychology and Social Relations at Harvard University is the author of "The Effect of Day Care on the Infant."

Henry N. Ricciuti, Ph.D., Professor of Human and Family Studies, at the College of Human Ecology, Cornell University,

wrote "Effects of Infant Day Care Experience on Behavior and Development: Research and Implications for Social Policy."

Greta G. Fein, Ph.D., who is the Director of Child Development Research at The Merrill-Palmer Institute in Detroit, is the author of "Infant Day Care and the Family: Regulatory Strategies to Ensure Parent Participation."

"Staffing Characteristics and Child Outcomes" was written by William J. Meyer, Ph.D., Professor of Psychology and Director of the Developmental Psychology Training Program at Syracuse University.

Professor Christoph M. Heinicke, Ph.D., and Assistant Clinical Professor Larry H. Strassmann, Ph.D., both at the Department of Psychiatry, University of California at Los Angeles, wrote "The Effects of Day Care on Preschoolers and the Provision of Support Services for Day Care Families."

Joan M. Bergstrom, Ed.D., Chairperson of the Early Childhood Education Department at Wheelock College, and Donna L. Dreher, M.A., former Research Associate at Wheelock College, who is now working with the publishing firm of Addison-Wesley, wrote "The Evaluation of Existing Federal Interagency Day Care Requirements: Day Care for the School-Age Child."

"Multigenerational Day Care" was written by Paul A. Kerschner, Ph.D., Assistant Professor of Public Administration and Gerontology at the Andrus Gerontology Center, University of Southern California, Los Angeles, and Pamela J. Harris, M.S.G., of Los Angeles.

Ura Jean Oyemade, Ph.D., Chairman of the Program in Human Development at the School of Human Ecology, Howard University, Washington, D.C., and Michele Chargois, a doctoral candidate, who is a Research Analyst at the National Institute for Advanced Studies, Washington, D.C., wrote "The Relationship of Staffing Characteristics to Child Outcomes in Day Care."

"Health and Safety Issues in Day Care" was written by Susan S. Aronson, M.D., F.A.A.P., Assistant Professor, Departments of Community and Preventive Medicine/Pediatrics, Medical College of Pennsylvania, Philadelphia, and Peggy Pizzo, a day care specialist and consultant.

Elizabeth Prescott, Director of Research at Pacific Oaks College in Pasadena, and Thomas G. David, a doctoral candidate, who is with the School of Education of the University of Chicago, wrote "The Effects of the Physical Environment on Day Care."

"The Effects on Children of the Organization and the Design of the Day Care Physical Environment," was written by three members of Creative Learning in Washington, D.C.: Charito Kruvant, M.A., the Director, Ginny Redish, Ph.D., and Diane Trister Dodge, M.A.

DAY CARE IN CONTEXT:
AN ECOLOGICAL PERSPECTIVE ON RESEARCH AND PUBLIC POLICY

by

Urie Bronfenbrenner, Jay Belsky, and Laurence Steinberg

EXECUTIVE SUMMARY

Overview

This paper presents an analysis of day-care research and practice in the United States from an ecological perspective which examines the impact of day care on the Nation's families and the society at large, rather than focusing exclusively on day care and the child. The authors suggest that in its failure to consider day care in relationship to the broader society, existing day care research is narrow in scope and ignores the issues that may be of greater consequence for the development of the next generation.

The analysis of the research is prefaced by a brief examination of the changes that have occurred in the structure and position of the American family and the concommitant changes occurring in the development of children. Following this examination, the authors proceed to an analysis of existing research on day care with two considerations in mind:

- The strengths and limitations of the scientific findings as indicators of the effects of day care on child development
- The significance of the existing research for understanding the broader effects of day care on the family and the society at large.

Principal Findings

The Changing American Family. Data available from the U.S. Census and other sources bearing on American families

and children for the period from World War II to the present time reveal progressive fragmentation and isolation for the family and its child-rearing role. This fragmentation is characterized by:

- A rapid increase in the number of mothers working full time, which has been accompanied by a decrease in the number of adults left in the home to care for children

- An increase in the number of children living in single-parent families, due to divorce and a sharp rise in the number of unwed mothers.

The implications of these trends are that existing facilities for the substitute care for children fall far short of the need. While there are approximately 5.5 million children under school age in licensed or approved day care facilities, nursery schools, and kindergartens, there are approximately 7.2 million children whose parents work and cannot care for them. The problem is compounded by an estimated 1.8 million school-age children who care for themselves when they return home from school.

The authors also observe that shifts in the structure and position of the family are accompanied by increasing indications of impaired well-being and development of children at all strata of the society. This impairment is characterized by declining levels of academic performance and rising rates of child homicide, suicide, drug use, and juvenile delinquency.

In the authors' view, any responsible assessment of research and policy on day care must, therefore, consider whether existing day care policies influence these documented trends, and what modifications are needed to decelerate them.

Contemporary Day Care Research. In presenting the major research findings on day care, the authors included only those investigations that employed reliable measurement techniques and an experimental design permitting some control over possibly confounding factors. Nevertheless, the following scientific limitations characterize the research:

- The focus of most research studies on restriction of research to high-quality center-based care prevents generalization of findings to the kind and quality of day care available to most families.

- The tendency of most research to examine only immediate effects prevents the determination of whether any long-term effects result from day care experience.

- The restriction of most research to laboratory conditions limits the generalizability of findings to real-life settings.

- The lack of sufficient comparability of family backgrounds among experimental and control subjects prevents an accurate assessment of whether outcomes are the result of family background or experimental treatment.

The findings of day care research examined encompass three major spheres of human development:

- Cognitive

- Emotional

- Social.

Cognitive development as measured by standardized test scores for children living in average, low-risk socio-economic circumstances is not affected by experience in programs that meet current Federal and State regulations. On the other hand, good quality care may attenuate the declines in test scores frequently observed in youngsters from disadvantaged backgrounds. The effects on cognitive development of day care that is not of high quality remains unknown.

Investigations in the emotional sphere have focused primarily on the question of whether day care disturbs the mother-child relationship. Carefully controlled studies have shown few differences in children's responses to separation from the mother as a function of exposure to day care.

Effects on social behavior and development as a function of mode of care are restricted to differences associated with center care versus family day care or home care. Findings indicate that compared to youngsters raised at home, children with experience in day care centers interact more with their peers in both positive and negative types of behavior. These effects endure at least throughout the early years of elementary school. In addition, children enrolled in day care centers for extended periods show

higher levels of insecurity, increased aggression--both toward peers and adults--and decreased cooperation and involvement in educational activities once the child enters school. However, the authors note that such outcomes seem to be products of certain kinds of program emphases more common in this Nation than elsewhere and reflect the special character of children's peer groups in America, which are distinguished by a stress on autonomy, individualism, freedom of expression, competition, and permissiveness toward and encouragement of interpersonal aggression.

Several unresearched issues in day care are also identified:

- The nature and impact of differences among day-care programs in the level of quality, type of setting, length of program, and program philosophy and approach
- The impact of day care on the child's behavior in other real-life settings
- Socialization effects of day care
- The significance and effects of day care for parents
- The significance and effects of day care on the family as a whole
- The differential significance and impact of day care for families living in different socioeconomic circumstances
- The impact of day care in and on a changing society.

Policy Implications

In delineating day care policy issues that should be addressed by the Federal Government, the authors point out that the restricted focus of day care research is paralleled by an equally limited perspective on policy issues. Thus, in the absence of reliable and valid information about the consequences of different types of care, the authors suggest that the Federal Government should be guided by the following general principles:

- The types of services provided should be responsive to the expressed needs of parents as they perceive them and should allow for a wide range of program options.

- Federal research policies should be modified to give priority to scientific studies that go beyond the narrow scope of past and current endeavors in this area.

- All child care services receiving Federal funds should be required to provide parents written materials describing programs and afford them opportunities to visit programs so that they can make a knowledgeable assessment.

- To encourage the development of a wide range of services, the Federal Government should keep to a minimum the specification of program criteria.

- Grievance procedures should be established at the local level to resolve parental dissatisfaction with programs.

The authors conclude that federally supported day care programs should not contribute to the derogation or abdication of parental roles but should function as an invaluable complement to parents who remain the most important influence in furthering the development of the child.

THE EFFECT OF DAY CARE ON THE INFANT

by

Jerome Kagan

EXECUTIVE SUMMARY

Overview

This paper examines current assumptions and empirical research regarding the effects of day care on the development of the infant. While the subject is discussed primarily in the context of American values and definitions of optimal development in children, cross-cultural data are also utilized to demonstrate that while all children have the same biological needs, their psychological needs are relative to the society in which they live.

The author's work is presented in three major sections, which include:

- Parental concerns about day care
- Exemplary research on the effect of form of care
- Policy implications.

In the first section, an analysis is presented of the concerns held by many American parents about the possible negative effects of day care on the optimal development of infants, and on their future ability to meet the standards imposed by current societal values. The five basic parental concerns are:

- The possible dilution of the attachment between infant and mother
- Retardation of cognitive development
- Failure to train the child to control anger, aggression, and passivity

- The effect of peers
- Usurpation of the mother's responsibility for the child.

While the author views these concerns as reasonable, he concludes that they are without empirical justification and suggests that in actuality, children do not require any specific actions from adults to develop optimally.

The second section highlights previous research on the differential effects of various forms of care on early social, cognitive, and physical development. The preponderance of the studies the author cites indicates that the quality of experiences associated with group care was the key variable in the development of children. Group care settings are desirable which provide a variety of experience and opportunity for children to practice maturing competencies and which have sufficient staff to devote adequate attention to children and stimulate them linguistically.

Socioeconomic status also appears to be an extremely salient variable in the research. When the effects of group care are compared among upper and lower income children, findings indicate that low-income children in day care centers tend to achieve higher scores on measures of cognitive development than children of similar backgrounds without day care experience. Among middle-class families, day care experience does not appear to have a significant effect on cognitive and affective development. In addition, middle-class children demonstrate more advanced cognitive development than low-income children, regardless of day care experience for either group.

The paper summarizes, in great detail, a recently completed experiment by the author and his colleagues on the effect of day care on a group of Chinese-American and Caucasian infants who were in day care from 3 1/2 through 29 months of age. These children were matched with a control group of children who were being reared totally at home. The children were seen eight times from 3 1/2 to 29 months; and their cognitive, social, and emotional development was assessed using objective procedures. The results reveal no important differences between the day care and control children, despite the fact there were social-class and ethnic differences in many of the variables. This result is in accord with the work of others, indicating that when care is of good quality, development seems to proceed in a manner similar to the course of development at home.

Policy Implications

The final section on policy implications suggests that existing data on group day care are not complete enough to permit firm statements about the specific characteristics of day care that influence psychological development such as caretaker-child ratios, amount of space, number and quality of toys, or nature of curriculum. Policy recommendations must, therefore, be derived from consensus among experts.

The author indicates that measurable characteristics which can be monitored, such as years of education for staff or number of toilet facilities, do not appear to be of crucial importance to the infant's development and that Federal monitoring of day care cannot effectively monitor the subjective attributes which do have a significant effect, such as fondness for children, experience with them, and tolerance. He asserts that the family is the best monitor of the quality of day care but proposes that in lieu of excessively detailed regulations, Government agencies might support inspection teams which evaluate the children and staff at centers to determine if the development of the children is within normal limits.

He advocates Federal regulation of the following functions:

- Child-staff ratios - A caretaker should not be responsible for more than three infants.
- Space - A center with 30 infants should have 2,000 to 3,000 square feet of space.
- Age of admission - A child should not be admitted to a day care center before 4 weeks of age.
- Personnel - While training is important, age, personality, and prior experience are more important than formal training.

The author also specifies that regulatory power should be awarded to municipal agencies and suggests that it is unwise for the Federal Government to monitor local day care centers.

Day Care and Employment

The discussion is concluded with a summary of research concerning the effect of day care availability on women's

decisions to gain employment. The findings indicated that lack of day care is not often cited as a reason for not working. Moreover, most women prefer to hire caretakers to come to their homes to stay with young children than to send them to day care centers. Between 1965 and 1971, the following trends were observed:

- There was an increase in the percentage of families with children under 6 years of age who used care in their own homes.
- Use of care in another person's home decreased from 34 percent to 17 percent.
- Use of day care increased only a little, with a greater increase among nonwhites than among whites.

The author suggests that the reason for the continued lack of popularity of day care in the United States seems to be both cost and some apprehension about the child's being taken away from the familiarity of his home.

EFFECTS OF INFANT DAY CARE EXPERIENCE ON BEHAVIOR AND DEVELOPMENT: RESEARCH AND IMPLICATIONS FOR SOCIAL POLICY

by

Henry N. Ricciuti

EXECUTIVE SUMMARY

Overview

As more and more women have entered the world of work, the demand for infant/toddler day care has increased substantially. Yet group day care facilities and programs for infants and toddlers are still relatively uncommon in this country. This condition is due in part to the increased costs of providing high quality day care for children this young, and in part to the considerable concern among professionals and laymen that extended experience in day care as early as the first year of life may have detrimental effects on the establishment of the normal patterns of affectional relationships between mother and infant considered essential to healthy personality development. Others have argued, particularly in recent years, that experience in day care is not only not harmful for the infant or toddler and his family, but in fact may be developmentally facilitating. It is also felt that the availability of high-quality infant day care might even enhance the relationship between mother and child since it would facilitate fulfillment of the mother's own work or career aspirations.

These contrasting views concerning the potentially negative or positive effects of infant day care are held with considerable emotional conviction even though the research evidence bearing on the issue is very limited and difficult to interpret. This paper critically reviews major research dealing with the effects of infant/toddler day care on development, with special reference to the implications of the research for those concerned with providing high-quality group care for children in the first two years of life. The author also considers the problems involved in articulating guidelines or standards intended to ensure that infant day care environments are optimally supportive of both infant and family development.

Methodological and Analytic Issues

The author delineates several methodological and analytic issues that must be considered in the interpretation of research on the effects of infant day care:

- Variations in program objectives
  - Day care as a good substitute for home care
  - Day care as a vehicle for providing compensatory or remedial experience
  - Day care as a setting for accelerating normal development through cognitive enrichment
- Variations in the features of day care requirements
  - Child-staff ratios at different ages
  - Stability and continuity of caregivers
  - Staff qualifications, in-service training, and supervision
  - Nature of infant's daily activities
  - Provisions for ensuring adequate conditions of health, nutrition, and safety
  - Consistency between day care and home practices
  - Opportunities for parental involvement
  - Provision of support for parental roles, or more general supportive family services
- Variations in day care experience among children
  - Age of initial entry into day care
  - Amount of day care experience (duration and intensity)
- The need for making a distinction between long- and short-term effects
- The problem of equating "statistically significant" effects with genuine gains in intellectual or learning competence
- The need for making a distinction between effects

attributable to day care experience and effects attributable to home environment.

Summary of Major Research Findings

The research review examines the effects of infant day care experience with regard to:

- Intellectual or cognitive outcome
- Parent-child relationships, particularly natural attachment
- Social relationships with peers and other adults.

The author states that despite the methodological and interpretive difficulties in the literature reviewed, there are a few generalizations and conclusions concerning consequences of infant day care experience that can be inferred from the research findings available thus far.

With regard to the possibility of adverse effects, little or no persuasive empirical research evidence exists to indicate that infant day care experience is likely to have unfavorable developmental consequences for the child's intellectual growth, the child's affectional relationship with the mother or subsequent peer relationships, and responsiveness to adult socialization influences.

The author notes, however, that the research thus far is based primarily on infant day care programs of extremely high quality. There is little or no research on the development of children enrolled in the broad range of day care settings typically available in a variety of communities, particularly family day care. Scientists and policymakers, therefore, must be alert to the possibility that under some circumstances the conditions of care may be sufficiently unfavorable that extended experience in such settings could have at least temporarily adverse effects on the child's development or on parent-child relationships.

With regard to the facilitative effects of early care, it does not appear that infant day care experience can readily enhance the development of intellectual competencies in children whose home environments are already supportive of normal development. It appears, however, that cognitively structured programs with high caregiver-child ratios may hold some promise of preventing the decline in intellectual functioning often observed in children from substantially less favorable home environments, or children "at risk." It is not yet clear even in such instances whether the infant day care experience can

produce enduring developmental gains in the absence of continuing enhancement of the child's subsequent developmental experiences in preschool or home environments.

In addition to increased intellectual functioning for children "at risk," there may well be other positive effects of enrollment in high-quality day care which occur either in the child, in his family, or in the family's functioning as part of the larger community. However, there has been very little effort directed at the assessment of such outcomes. While there is some limited data to suggest that early day care experience may facilitate the infant or toddler's adaptation to unfamiliar social situations, there may well be other and more substantial consequences of pleasurable group experience in a high quality infant/toddler day care environment that might be identified if research were more directly concerned with exploring this possibility.

Both short- and long-term consequences of extended day care experience in the first two years of life are likely to depend on the nature of the relationships between the day care providers and the child's family, particularly the parents. Parents and day care providers should see themselves in mutually supportive and complementary roles. Moreover, a high-quality day care program can serve important functions in supporting and strengthening the role of the parents as the child's primary caregivers.

The Problem of Articulating Guidelines and Standards

The articulation of specific guidelines and standards intended to ensure that infant day care experience will support and facilitate early child development and parent-child relationships should:

- Consider the various conditions and circumstances of early day care that have a significant effect on children and families.

- Specify ways in which these conditions of infant day care might be optimized.

Unfortunately, systematic empirical research concerned directly with variations in these important characteristics of infant/toddler care (e.g., caregiver-child ratios, group size, specific content of curriculum, etc.) is extremely limited. Thus, proposed guidelines and recommendations can be derived only partially from available empirical findings and must therefore be based also on theoretical considerations and on the wisdom and judgment of people having substantial experience with the problems of providing high-quality day care for infants and toddlers.

"Quality of care" refers to the desirable characteristics of the day care environment, which are considered to be facilitative of the child's intellectual, social, and emotional development, and supportive of normal relationships between infant and family.

In the absence of reliable procedures for specifying and evaluating "quality of care" directly, agencies responsible for ensuring adequate day care environments for young children have been concerned with the further development of required or recommended standards with regard to specific features of day care environments. The author recommends the following guidelines:

- Caregiver to child ratios - The ratios should be 1-2 for children under 2 months, 1-3 for children from 2 to 12 months, 1-4 for children from 13 to 24 months, and 1-5 for children from 25 to 36 months of age.

- Stability and continuity of caregivers - Caregiving tasks should be assigned so that each infant is cared for by only one or two people for extended periods of time. Use of volunteers should be arranged in ways that do not jeopardize stability and continuity of care.

- Staff qualifications - The quality and dedication of the staff, particularly caregivers, is the factor that carries overriding weight in influencing the quality of infant care. Sensitive and competent caregiving is not guaranteed by formal academic qualifications, which should not be overemphasized in evolving regulations. Meaningful supervision and in-service training are crucial in maintaining the quality of care.

- Curriculum - There should be a set of well-understood principles of quality care which the caregiver employs naturally in her interactions with the infants in her care. She may also utilize her knowledge of various play activities or experiences in her natural interactions with the child.

- Relationship between day care setting and families served - Appropriate strategies and mechanisms for building mutually supportive relationships with families of the children served should be developed in order to promote and support the parents' role as primary caregivers for their children.

He notes, too, that many of the day care requirements incorporated

in various State and Federal standards are also clearly very important in terms of ensuring minimal standards for health, safety, and physical care.

However, the author warns that compliance with particular standards or minimal requirements does not by itself guarantee high-quality day care. It is very important to achieve an explicit concept of quality of care and to develop reliable observational strategies and procedures that will permit systematic assessment by providers and licensors of the ongoing quality of care in any particular day care setting. The Federal Government could play a helpful role in systematic development of such strategies and procedures, with the collaboration of concerned day care providers and other interested groups involved in day care.

INFANT DAY CARE AND THE FAMILY:

REGULATORY STRATEGIES TO ENSURE PARENT PARTICIPATION

by

Greta G. Fein

EXECUTIVE SUMMARY

Overview

Increasingly in America, children are being referred to in a generic class sense rather than in a personal, individual sense. This semantic change parallels the profound change in the child-rearing practices and lifestyles of American families. As more and more women take jobs, child care and child rearing move from the primary family to outside, secondary institutions. Children thus become a special group of public persons.

Because of this, the extent to which child care outside the home serves the public interest becomes an issue of considerable concern. The delineation and acceptance of public responsibility in the light of social and economic changes in the family becomes an urgent matter. The FIDCR translate that responsibility into a framework for public policy.

This concept paper examines federally mandated requirements that promote parent involvement in day care, especially in those services targeted for children under 3 years of age.

The Need for FIDCR

In 1968, the Department of Health, Education and Welfare and the Office of Economic Opportunity approved FIDCR, including the parent involvement provisions. For the first time, FIDCR provided a public statement of mandatory criteria governing the use of Federal funds for the care of children in facilities outside their own homes. That public statement was necessary because of the need to:

° Protect the physical and psychological well-being

of young children who receive outside care.

- Protect the public from misrepresentation and abusive practices.

The first point perceives the child as a future citizen, molded in part by his day care experiences and upon whom Federal funds are spent. The second point is based on a view of the parent as citizen and involves such questions as the extension of right-to-know laws to child care services, the dissemination of accurate and useful information, and the participation of parents in decision-making and monitoring activities.

Although Federal funds help support only about 10 percent of the children cared for outside the home, and although FIDCR applies only to those facilities using Federal funds, FIDCR and other Federal requirements may be used as guidelines by others, especially parents who must make decisions regarding how their children are to be served.

The 1968 FIDCR document mandating the participation of parents on advisory panels is subject to two restricting conditions: The requirements apply only when Federal funds are used directly; indirect sources of Federal support such as tax exempt status, tax credits, and tax deductions are ignored. Second, FIDCR does not specify accountability; thus, the administering agencies assigned implementation of the requirements may become as much of a regulatory problem as the day care facilities themselves.

Unless decisionmaking agencies are carefully delineated, unless their prerogatives are clearly specified, unless the policy bodies associated with these agencies are explicitly described, parent participation in decisionmaking is unlikely to become a stable or effective feature of child care enterprises.

Concept of Parent Participation

Parent participation is not a novel concept in early education. Many of the early nursery schools in America made systematic provisions for parent involvement, but these practices were not carried over to day care programs.

In 1964, the Economic Opportunity Act provided the philosophy and funds for Head Start, the first large-scale program for poor children. The concept of the role of the parent underwent several changes over the years:

- Parents as learners, with emphasis on jobs and ancillary programs designed to enhance and modify parents' child care skills

- Parents as a public-relations group, which could

generate support for the program from the families it served as well from the local political leadership

- Parents as decisionmakers, at several levels of program operation.

In 1967, Congress strengthened the decisionmaking role of parents; parents in Head Start were given veto power and policymaking opportunities.

Parent Participation and Day Care

Various strategies for parent involvement in day care grew out of the Federal focus on the impact of poverty on parents and children. However, the central focus for day care is vastly different. In contrast to the justifications offered by poverty programs (parent and child change), primary emphasis in day care is upon preserving the responsibility, authority, and contribution of parents in the rearing of their children. Under day care, parents are seen as having three roles:

- De facto guardians who retain their authority (technically and psychologically) even though child-rearing functions are delegated to nonfamily institutions

- Informed consumers who are aware of the alternatives, policies, and practices of child care arrangements and able to make decisions based on that information

- Concerned citizens who require access to the internal workings of the day care enterprises to prevent administrative abuses.

These roles are seen as ideals; in reality, many factors--such as inadequate time, knowledge, and interest (for both parents and day care workers) as well as inadequate regulatory principles--may prevent full realization of them.

Unfortunately, there has been little research regarding the relation between parent participation and the development and well-being of young children. Relatively little is known about how the ongoing, day-to-day interaction between parents and caregivers or how the participation of parents in other ways supports family life and children's functioning.

Protection and Development of the Young Child

For children 3 years of age and younger, the need for parent involvement as outlined in the roles above is especially acute: these young children are unable to

protect themselves or describe their experiences to their parents. Parents need both a guide as to what is good for babies and information with which to judge a given case.

Current research on young children supports the argument that what happens to children in early life affects their later functioning; indicates that disruptions in the continuity of care are distressful to children; yields some of the information parents need in order to assess the quality of care given children; and suggests that while positive gains are hard to demonstrate, day care enrichment programs do not harm children. The lack of adequate research findings pertaining to parent participation means that policies in this area must be based on social and political, rather than scientific, considerations.

Parent Participation and Federal Requirements

Parent involvement is the least controversial and least costly of all Federal regulations concerning day care, primarily because of public respect for the importance of the family and the need to preserve and strengthen the role of parents in rearing children.

The 1968 FIDCR cover the following domains and forms of parent involvement:

- Parents must be given convenient opportunities to work with the program and observe their children at the facility.
- Parents must have the opportunity to make decisions regarding the nature and operation of the day care facility.
- Where 40 or more children are involved, there must be a policy advisory committee, at least half of whose members are parents.
- Those committees must perform productive functions including numerous oversight responsibilities.

In practice, the vague wording of these requirements provides inadequate assurances of implementation and reflects both lack of program focus and the administrative chaos typically associated with day care delivery systems.

Alternatives I and II

Because the 1968 version of FIDCR is less than adequate, two alternatives merit consideration.

Alternative I is based on a 1972 proposed draft

revision of the FIDCR. That proposed revision strengthens parent involvement at the crucial level of ongoing, direct contact with a day care program but weakens parent participation at higher levels of institutional decisionmaking.

Alternative II, based on the 1970 report of an early childhood development task force which examined day care in New York City, envisions a policymaking commission, composed primarily of parents, that functions at the highest level of government decisionmaking and has the support of the political hierarchy and the community at large.

Conclusions

Although Federal regulation is a highly sensitive issue, regulations concerning parent participation in day care may be easier to justify than other areas covered by the FIDCR. Moreover, the needs and vulnerability of young children make explicit and specific regulations a necessity. The following recommendations constitute an optimal set of requirements concerning parent participation:

- Opportunity for parent participation should be a a mandatory requirement for the use of Federal funds, whether through direct or indirect means of program support. By broadening the domain of Federal funds covered by the FIDCR, participation is extended to a large and diverse group of parents likely to be affected by child care policy decisions.

- Funding channels must be reassessed to ensure that both indirect and direct Federal funding is taken into account, especially when tax exempt institutions provide child care services.

  Parent participation at the day-to-day operating level must be ensured.

- Parent participation at the high levels of decisionmaking must also be ensured.

The following recommendations constitute minimum requirements, below which children might be at risk:

- Opportunity for parent participation must be mandated when there is direct Federal funding of child care services.

- There must be identification of major disbursal points for Federal funds so that "administering agencies" can be more precisely defined.

- Parent participation at the day-to-day operating level must be ensured.

- The 1968 requirements for parent participation on decisionmaking bodies must not be diluted.

- Provisions should be made for parent participation in an advisory capacity at a national level of decisionmaking.

A serious and sustained commitment to systematic study is required to refine Federal requirements and standards. Such study might cover the following areas:

- The development of carefully evaluated program models for enhancing parent participation in the above modes

- The development of appropriate instruments for assessing the quality of parent participation and the effects on infants and young children

- National surveys of conditions in the field, especially with respect to the relationship between child care programs, parents, and early child development.

STAFFING CHARACTERISTICS AND CHILD OUTCOMES

by

William J. Meyer

EXECUTIVE SUMMARY

Statement of the Problem

The purpose of this paper is to examine the scientific literature relevant to the effects of child-staff ratios on children's development. Corollary to this objective, the paper attempts to identify domains of behaviors that might be influenced as a consequence of a day care experience. A pervasive concern throughout the paper is the determination of the meaning of harm; that is, when can it be determined with certainty that a child has been harmed as a consequence of a particular component of a program? In this report, exclusive attention is given to staffing patterns in family-style and center-based programs. The discussion of harm focuses primarily on cognitive development and socialization, especially aggression. The methodological and social/political issues that limit the implication of the research are also explored.

Objectives

The major issues addressed in this position paper are:

- Categories of behavioral outcomes resulting from day care that should be of concern to policymakers
- The meaning and assessment of psychological harm
- The degree to which variations in child-staff ratios influence behavioral outcome
- The relationship of FIDCR staffing requirements to the quality of behavioral outcomes.

Methodology

The author indicates that most of the available studies of reasonable scientific quality focused on institutional care, not day care. He examines each available study to determine the chronological age of subjects, number of subjects in each group, socioeconomic status of the subjects, the organizational structure of the program (how children were assigned to caregivers), quality of caregivers (educational levels), and the general philosophy of the programs, including whether the programs were family- or center-based. In some instances, he also describes the specific activities of children in the programs.

Major Findings

The Concept of Harm. Much of the literature examining the antecedents of harm involves children reared from infancy in severely deprived environments (institutional or natural environment). The author notes that these studies are not completely relevant to day care effects. All the major studies cited indicate that long-term effects are minimal or even not apparent, and that early deprivation effects can be ameliorated by a stimulating environment.

The general discussion of harm is cast in the context of relative values. Thus, many researchers observe that children in center-based day care are more aggressive than children in family-style day care or who remain at home. These investigators suggest that the aggressiveness is a negative consequence of day care. Studies of day care conducted 40 years ago, however, seemed to encourage aggression--socially acceptable aggression such as defending one's self from attack, speaking to adults, or maintaining property. Current authors fail to consider the positive aspects of aggression, suggesting, to some degree, a change in values. That mother-child separation, which accompanies day care, is responsible for the observed aggression is seriously questioned by the authors. Studies are present that clearly demonstrate that program variables (structure, space available, child-staff ratios) are the major contributors to variations in aggression as well as variations in performance of cognitive tasks.

The author indicates that a formal educational component in day care is not necessary to prevent harm. A minimal program providing basically for the physical, social, and emotional requirements of children is an entirely defensible approach. This view is based on the fact that children can receive educational stimulation from their parents and

siblings and that education, in fact, occurs without formal lessons. Data are presented that demonstrate that regardless of whether preschool children receive formal, structured educational programs, differences between the groups which existed in preschool disappear at the end of third grade. While children can be harmed physically in innumerable ways, psychological harm seems to require severe deprivation over extended periods of time before the consequences become irreversible.

Child-Staff Ratios. The author states that studies directly addressing the effects of child-staff ratios on development, unconfounded by other variables, do not exist. He makes the following inferences regarding child-staff effects by examining the consistencies that occur over diverse studies:

- Low child-staff ratios (2-1, 3-1, or 4-1) tend to produce children who are quieter and less aggressive and who perform well on standardized tests. This trend is clearly shown for infants, toddlers, and preschool-age children.

- The operationalization of child-staff ratios may be as important as the actual ratio. For example, ratios of 20-10, 30-10, or 40-10 are mathematically equivalent to ratios of 2-1, 3-1, and 4-1. Data show, however, that these ratios are not psychologically equivalent. When caregivers are assigned to small groups of children, the consequences are different than when they are assigned in the same child-staff ratios to larger groups. The evidence further suggests that caregiver relationships should be stable from day to day.

The child-staff ratios for day care programs that emphasize good physical care of children can be increased, resulting in reduced costs. Major increases in the ratio for infant day care are not possible, but ratios as high as 12-1 for 5- and 6-year-olds have not proved harmful. The author suggests that local capabilities and values should prevail in making these determinations.

Several variables that should influence child-staff ratios are examined, including: Child characteristics (in addition to chronological age); setting (family-style vs. center-based); program philosophy; caregiver characteristics; and requirements for minimum and maximum programs.

There are two especially important issues pertaining to child-staff ratios:

- Where family-style programs include older children, it is possible to use these children as caregivers themselves.

- There are unresolved questions about the levels of professionalism of caregivers.

Caregivers in the family-style programs should be encouraged to receive training, using any one of several available parent-training programs. These caregivers should also be given incentives to maintain their programs: children require stable relationships. No recommendations are made about the nature of effective incentives; but the author suggests that money, or free materials and toys, might be feasible.

Recommendations

Recommendations to modify the FIDCR regulations regarding staffing focus primarily on the need to make them more flexible and realistic. The major change the author recommends is to specify that child-staff ratios represent the actual number of children working with a caregiver rather than an overall ratio of all children to all caregivers. For example, a ratio of 5-1 means five children working with a single, relatively constant, caregiver. A ratio of 50-10 is also a 5-1 ratio, but it does not define the working or operational group. Thus, in a 50-10 plan, a few children will receive considerable care, and some children will receive none. The author concludes that the size of the actual ratio can vary considerably depending upon children's ages, the physical setting, and the program philosophy. If the ratio is to have meaning, it is necessary to define it in terms of actual caregiver-child contact, rather than as an abstraction derived from the number of caregivers and children.

THE EFFECTS OF DAY CARE ON PRESCHOOLERS AND THE PROVISION OF SUPPORT SERVICES FOR DAY CARE FAMILIES

by

Christoph M. Heinicke and Larry H. Strassmann

EXECUTIVE SUMMARY

Overview

This paper addresses the question of what aspects of the preschool day care experience can be changed through licensing revisions in order to improve the developmental potential of the child and his family. The authors divide the question into three broad areas of discussion.

In the first section, they examine the research literature concerning the effect of the typical day care experience on the immediate and long-term development of the preschool child and its family. They conclude that evidence on long-term effects of day care is practically nonexistent and that existing studies of short-term effects do not provide conclusive proof of either a positive or negative effect.

Findings

Using certain important child development variables as headings around which to organize the research on short-term effects, the authors present the following findings:

- Day care did not seem to have an appreciable impact on the development of IQ.
- Children who had been in day care prior to the age of 3 exhibited a higher level of peer interaction when entering a new day care center than did children without prior day care experience (Schwartz, et al., 1973).
- Children in day care from the age of 9 months showed a greater social ease and exceeded their home-reared counterparts in physical and verbal aggression toward both peers and adults.

- Children in day care from the age of 9 months were also less cooperative with adults and engaged in more running about as opposed to sitting quietly.

It is suggested, therefore, that the same children who showed greater ease in relating to peers also showed a poorer task orientation and a poorer modulation of aggression. These conclusions are supported by several studies, but the authors note that the methodological difficulties of the research warrant caution in drawing any conclusions.

Still other findings relate to the child's transition from the relationship with the primary caretaker to new relationships in the day care center. A study by Blehar (1974) indicates that children in day care have greater difficulty in making a transition from the primary caretaker to the strange adult than do children living at home. The authors note that serious criticisms can also be made of the methodology of this study; they conclude, however, that the impact of the day care experience on such developmental variables as task orientation, modulation of aggression, and the ability to make the transition from the primary caretaker to new relationships is worthy of further research.

The authors stress that, for the purposes of research, the day care experience must not be viewed as a set of homogenous and unitary phenomena; rather, that the different kinds of day care situations should be carefully described in terms of their component parts. (Components previously studied include physical arrangements, staff-child ratios, the nature of parent participation, the nature of the "curriculum," the type of age grouping, whether the day care structure is open or closed, and the personalities and experiences of the director and teachers.) They further stress that in evaluating a particular component, it is necessary to study its relationship to the other components. The researcher may thus find, for example, that variations in the impact of different age groupings may be as much a function of the type of teacher who chooses to work with a particular age grouping as the age grouping itself.

In searching further for components of the total day care experience that might well have a significant impact on the child and the family, the authors concentrate on the nature of family functioning. They ask how the quality of the parent-child interaction influences the preschool child's day care experience and what can be done to promote quality in such interactions.

After reviewing some of the research about the influence of parent on child and child on parent, they suggest that one way to affect the child's development in day care is to attempt to influence the nature of the parent's interaction with the child. The total development of the child, including his adaptation of day care, is likely to take a more progressive direction if the quality of family interaction is improved. Three broad forms of family intervention are discussed:

- Training to promote mother-infant interaction around a cognitively stimulating task

- A social work approach to promote the competence of the parent as a person and a parent

- Parent education to impart knowledge for the improvement of various phases of the family's life.

Evidence is cited that suggests that the first two approaches are effective. The authors observe that other forms of intervention could be used; but their review of the literature, including a previous review by Bronfenbrenner (1974), led them to focus on these two types of intervention as salient examples.

In addressing the issue of the delivery of services, the authors discuss social work services that are provided to families in the context of day care. As a possible addition to licensing guidelines, they suggest that day-care-affiliated social services be made available to support parents and primary caretakers in their parenting roles and in their functioning as individuals. This program component may take various forms and should be carefully done by the day care provider. The authors stipulate that social services for parents should augment--and not replace--parent involvement in such bodies as advisory councils.

The authors delineate four functions of a social worker attached to a day care service:

- Joining the director in the intake process of gathering information on the family, determining the suitability of the day care service, and helping to plan the best curricular approach for the child

- Maintaining contact with the family in order to achieve sufficient understanding of its needs

- Examining a problem area which is identified by either the family or the day care provider

- Providing help along three broad lines: Consultation with the day care provider, direct intervention by the social worker, and/or referral to community resources.

While the above applies to both center and family-type day care, the particular problems of providing family social work services in the context of family day care are also discussed.

Conclusions

Without minimizing the importance of providing social work and developmental services on a general community basis, the authors stress that the use of such services in connection with the provision of day care is particularly efficient and provides a unique opportunity for assisting families that might otherwise be unaware or unable to make use of these services. Finally, they stress the importance of maintaining the family's option to use such services as opposed to requiring them to do so.

THE EVALUATION OF EXISTING FEDERAL INTERAGENCY DAY CARE REQUIREMENTS: DAY CARE FOR THE SCHOOL-AGE CHILD

by

Joan M. Bergstrom and Donna L. Dreher

EXECUTIVE SUMMARY

Overview

This study concentrates on existing Federal regulations concerning after-school programs for school-age children (5 to 14) and makes various recommendations for improvements.

Substantive material covered in the report includes: The appropriateness of current Federal day care requirements for school-age children, characteristics of the population associated with different age groups, recommendations for changes in the FIDCR, and suggestions for types of technical assistance to be provided to State and local agencies.

FIDCR and School-age Children

The authors base their discussion of FIDCR standards for school-age children upon their own analysis of the requirements, reinforced by consultation with community representatives, social workers, program administrators, educators, consumers, and members of the medical and health professions. Although they regard FIDCR as an "honest and more helpful attempt to provide standards for children in day-care programs," the authors report a consensus that many problems in enforcing the requirements stem from:

- Difficulty of interpretation
- Lack of clearly defined purpose
- Vague wording and faulty definition of terms
- Poor delineation of responsibilities of administering and operating agencies for fiscal matters, daily operations, and accountability

- Inadequate designation of family day care services for school-age children.

These faults result in far-from-uniform responses in various States: Some regard the FIDCR as a model to assist them in developing their licensing codes, while others treat the requirements as minimum licensing regulations--the minimum requirements at which the day care program can operate.

Needs of School-age Children

The authors preface their description of the general characteristics, development needs, and potential problems of school-age children by noting that the professional literature contains no consistent definition of the term "school-age." The age group is frequently considered to include children between the ages of 5 and 14: however, children as young as 5 may or may not attend kindergarten and undoubtedly have developmental needs that differ from those of older children. Accordingly, the authors observe that: "Due to the nonstandard definition of the term "school-age child," it is difficult to report numerical data relating to the population of school-age children.

Despite this uncertainty, they estimate, however, that:

- There are 29 million children from the ages 6 through 14 living in the United States.
- Nearly 18 million of these children have mothers in the labor force and need some form of supervision during nonschool hours.
- Only 1.6 million children are enrolled in such supervisory programs.

The authors outline the following developmental characteristics and needs of different age groups based on physical, intellectual, and emotional maturation:

For 5- and 6-year-old children, they include:

- Increased flexibility in thought processes
- Attention-seeking and feelings of ambivalence and insecurity
- Desire for autonomy and initiation of activities.

For 6- to 12-year-old children, they include:

- Development of problem-solving and social interaction skills

- Identification with peer group
- Increased development and perfection of motor coordination.

For 12- to 14-year-old children, they include:

- Increased skill in logical and abstract thinking
- Increased desire for independence and freedom from adult supervision
- Concern about status with immediate peers
- Increased sexual awareness and activity.

Potential problems of school-age children identified by the authors include:

- Alcoholism
- Drug abuse
- Juvenile running away
- Obesity
- Delinquency
- Pregnancy
- Overexposure to television.

Recommendations

Chapter IV, on services and standards for these children, focuses on suggestions for modifying the FIDCR for programs for school-age children. The current situation is viewed in terms of recommendations for improvements in the various components of FIDCR. For example, the authors recommend that FIDCR should mandate that programs for school-age children comply with all local and State fire safety, zoning, licensing, and health requirements. Since in most States zoning and licensing standards for afterschool programs are based on preschool and day care standards, attention must be given to developing flexible zoning and building standards for afterschool programs without sacrificing safety and appropriate space. In other words, the writers, noting some discrepancies in the existing requirements for before, during, and after school timeframes, suggest a logical appraisal based on the actual needs of caring for and safeguarding the

children. This attitude permeates their recommendations. Staffing and educational services, which are mutually dependent, should be based clearly upon mandated, minimum staff-child relationships. The authors also stress the need for careful spelling out of all aspects of day care requirements--health, social, nutritional services, as well as the legal liabilities of the providers--and advocate encouraging parents to involve themselves with the day care situation.

A similar approach--recommendations rooted in the actual situation--is utilized in the fifth chapter concerning recommendations for types of assistance the Federal Government could provide to regional, State, and local agencies. The authors identify three issues that warrant further consideration:

- Serving children with special needs in programs for school-age children
- Collection of information on community resources
- Informational materials and packets that identify some of the potential problems for school-age children.

The authors emphasize, however, that because of the diversity of the programs serving school-age children, these particular program components should not necessarily be mandated but should be promoted by technical assistance from the Federal Government.

Detailed reference and appendices are supplied.

MULTIGENERATIONAL DAY CARE

by

Paul A. Kerschner and Pamela J. Harris

EXECUTIVE SUMMARY

Overview

Age segregation is the separation of generations that occurs when young families and single persons live in one part of a community while the elderly live in another. One result of age segregation is that many children grow up without close contact with anyone over the age of 60.

This paper reports the results of a study to determine whether a multigenerational child care program--in which older adults are utilized as volunteer or paraprofessional caregivers in a day care setting--can help to offset the effects of age segregation and promote intergenerational interaction to the benefit of children and older adults.

Methodology

To demonstrate the effects of multigenerational day care programs, the authors took a comparative approach. Accordingly, they selected two existing day care facilities for investigation. One program was multigenerational and the other traditional. The authors note, however, that the use of existing programs in the study resulted in a small sample of children who were assigned to the two treatments on a nonrandom basis. (The sample consisted of nine children from each program.) Hence, there is a distinct possibility that the parents who selected the multigenerational program for their children chose that program on the basis of its innovative nature, thus predisposing the children's attitudes toward older adults.

The authors also note that the two programs investigated catered primarily to the needs of low-income black families. Therefore, the study lends itself mostly to this ethnic group

and reflects the black culture and family life, generalizing on the role of the older adult and the needs of the preschool child.

The study consisted of three areas of investigation: Empirical research, observational data, and interviews with child care professionals, gerontologists, older day care paraprofessionals, and experts in volunteerism.

The empirical research consisted of:

- An attitude measure administered to the nine children at each facility to determine differences in attitudes toward older adults

- A questionnaire administered to the parents of the children. The questionnaire attempted to determine the amount of contact the children had with older adults at home, the parents' feelings toward older adults as paraprofessionals in child care programs, and parents' feelings about progress in their children's behavior since the children had begun their respective day care experiences.

The observational research was used to note social and communication skills of the subject children in each child care program by means of a cooperative versus conflictive interaction model. In the multigenerational setting, interactions were noted between child and child, child and older adult, and between child and other staff, while in the traditional setting interactions were observed both between child and staff and child and child.

The interview component consisted of interviews with 11 child care professionals, gerontologists, and experts in volunteerism, and interviews with 8 older adults who worked as paraprofessionals in the Los Angeles Foster Grandparents Program (R.S.V.P.) The 11 professionals responded to questions about the positive and negative characteristics of older people as child care workers, and about guidelines they might recommend for multigenerational programs. The older adults answered questions about their perceptions of what they and the children received from participating in the program, about guidelines for use of the elderly as child care workers, and about the qualities they felt were important in an older caregiver.

Results

The attitude survey administered to the children showed only limited evidence that participation in multigenerational care affected attitudes toward older adults. Specifically, in comparison to the control group (children in the traditional program), children in the multigenerational program:

- Did not demonstrate significant differences in their knowledge of the word "old"
- Did not have more positive attitudes about older adults
- Demonstrated a greater ability to describe or recognize an older adult
- Had more relationships with older adults at home.

Parents of children in the multigenerational program tended to have more positive attitudes about the use of older adults in child care than did parents of children in the traditional program; but the multigenerational parents saw less progress in their children's behaviors than did the control group.

In the multigenerational program, different kinds of interaction were observed to take place between the children and the professional staff, the other children, and the older adults, as follows:

- Children interacted constructively with one another, although more aggressive behavior was noted among older children
- Conflict arose among staff and children when children did not respond to adult requests
- Older adults provided children with individualized attention, affection, and mothering; thus, only minimal conflict characterized interactions.

By contrast, the traditional program was more structured than the multigenerational setting. As a result:

- Both conflict and cooperation interactions among children were minimal, with greater interaction among older children.

- Children respected authority of staff, were more verbal with staff, and exhibited minimal resistance to staff requests.

- Affection on the part of staff was rarely expressed.

In the interview component of the study, the professionals felt older adults contributed much to the child care program. They perceived the older adult as having the time and patience to attend to children's individual needs, thereby enhancing the social and emotional aspects of the children's experiences. The professionals recommended an orientation to the educational philosophy and the facilities of the child care program for all older adults working as paraprofessionals in child care, and they attached importance to on-going training and evaluation.

Professionals viewed older adults as working a maximum of 6 hours and a minimum of 2 in any given day, while supervising children on a one-to-one basis. They all expressed willingness to utilize older adults in a child care program, on a paid or volunteer basis.

The paraprofessionals viewed themselves as offering love, affection, empathy, and willingness to assist the professional staff of a multigenerational center. They felt that older caregivers need to be flexible and empathetic.

Most of the older adults felt that older paraprofessionals should receive some training or orientation in the philosophy of the child care program. They viewed themselves as supervising from 5 to 15 children, and working approximately 5 hours a day. They perceived their greatest difficulty working in child care programs as adjusting to new ideas, but they agreed that they must adjust to the philosophy of the program and not the other way around.

The authors conducted one interview that explored the role of the institutionalized older adult in child care. The subject of the interview had recently been hired to direct a program integrating a preschool and a geriatric center. The greatest concerns about the program from the point of view of the geriatric center were that it not interfere with the privacy of those residents who did not wish to participate, but that it must be accessible to those older adults who wished to be involved. The preschool staff was concerned that the older adults participating in the program have sufficient orientation to the goals and procedures of the nursery school.

Conclusion

The authors note that while the empirical research conducted in this study identified only minor variations in children's awareness or behavior as a result of participation in multigenerational care, the observation and interview components indicate that the children benefit a great deal from the individualized attention, warmth, and comfort the older adult provides. The older adult, in turn, derives a great deal of satisfaction from participation in the child care program.

The authors note that, just as the older adult must be oriented to the philosophy of the child care center and the special needs of the children, the child care staff must be educated as to the plight of the older adult. When this mutual training and sensitization is carried out, then a program can be operated that serves the needs of two diverse elements of the community.

THE RELATIONSHIP OF STAFFING CHARACTERISTICS TO CHILD OUTCOMES IN DAY CARE

by

Ura Jean Oyemade and Michele Chargois

EXECUTIVE SUMMARY

Overview

The establishment of developmental goals for all children has become a concern of the Federal as well as State and local governments, based on their funding of day care programs and their concern with achieving positive social change through proper training and motivation. However, of primary importance is the effect of child care programs on the development of children. Most child care programs are based on the following models:

- Custodial care
- Nursery school models that stress independence, cognitive tasks, and learning and social skills
- Compensatory education that stresses cognitive skills and assumes deprived home environments.

Many programs that provide day care for children have evolved as a result of practical needs and unsystematic considerations. Few have been supported by a valid, consistent, theoretical framework based on the perspective of a child's development.

The objective of this paper is to present evidence of the need to apply specific levels of competence to day care center staff, and to describe the impact of those levels on the children for whom the staff provides care. The authors assert that day care staff is a key to program effectiveness.

Quality Day Care

Quality day care, a concern of parents and legislators alike, must be defined in terms of outcomes consistent with generally accepted goals of human development, with maximizing human potential, and with the goals of parents and communities served by the day care programs. Tasks necessary to define quality day care include:

- A major review of the goals of many day care programs
- Consideration of the varying needs of children at different ages and stages of development
- Assessment of child outcomes and analysis of the methods used to assess these outcomes
- Study of teaching and staffing characteristics.

Staffing Criteria

The staff of the ideal day care program should comprise the following:

- Center director
- Director of social services
- Coordinator of parent activities
- Director of nutrition
- Health personnel
- Coordinator of volunteers
- Custodial staff
- Teachers
- Teacher aides

Budgetary constraints and the lack of available personnel prevent most day care centers from retaining each of the recommended staff persons. Federal, State, and local governments should be approached for funding for these positions.

Training Methodologies

The authors indicate that while most State licensing standards require limited training for teachers as part of the qualifications for child care personnel, the current approach to training for day care staff is somewhat haphazard. This is attributed to the negative view of day care as merely a "custodial" program which serves the disadvantaged, as opposed to a more positive view which considers the significance of the developmental aspects of day care. The following training methodologies are described by the authors:

Traditional Training. With this form of training, the teacher possesses a fundamental education in the liberal arts. Some studies urge additional training in early childhood education.

Nontraditional Training. Under this form, emphasis is on caretakers who possess inherent and acquired skills as opposed to certified teachers with college degrees. Several studies have found little difference between the performance levels of traditionally trained workers and those of untrained workers in many areas of competency. Nontraditionally trained teachers are often believed to be deficient in skills essential to curriculum development, planning, evaluation, and report writing.

Competency-based Training. With this form, the concern is with learning experiences and instructions that are designed to prepare teachers and day care workers to assume a specified teaching role. Proficiency, rather than number of courses, is the criterion. Three types of teacher competency have been defined:

- Cognitive competency, which addresses the teacher's knowledge of the subject matter
- Performance competency, which addresses the teacher's performance in the classroom
- Consequence competency, which addresses results evidenced in pupil accomplishment.

The authors cite the efforts of the Child Development Associate Consortium (CDAC) to train child-care workers using the competency-based approach. They caution, however, that it would be unwise to include CDAC competencies as criteria for day care staff in Federal day care regulations because of the lack of the data on the impact of those programs on the child.

Certification

The authors observe that whether traditional or nontraditional training is used, the certification process must incorporate the following considerations:

- The central issue is quality, not quantity.
- Teachers of young children should receive training and preparation that reflects the specialized nature of their jobs.
- The specific competencies of the teachers should be compatible with day care's accepted goals.
- Training programs and certification requirements should reflect the facts that teachers of young children often conduct activities other than direct teaching; that alternative qualifications for entry into child care are necessary; and that poor and minority persons should be assigned priority.
- Education programs for teachers of young children should be a joint effort among State and local agencies, universities, and community groups and should incorporate both traditional and current methods.

Impact of Staff Characteristics

The authors observe that educators, social scientists, and the public generally accept the premise that the benefits of educational and developmental programs are determined to a large extent by the teaching and caregiving provided. Despite its importance, little reliable and valid research concerns the nature of good teaching or the characteristics that contribute to good teaching. Characteristics significant

to the competent care of children may be grouped into two categories:

- Characteristics concerning intellectual capabilities and knowledge base.
- Personal and social characteristics.

The first set of characteristics lends itself to objective measurement; the second set does not.

Three terms are important to a discussion of teacher/caregiver characteristics:

- "Role," as teacher of skills and as caregiver supporting a child's emotional and physical needs
- "Style," the individualized way in which a role is performed
- "Technique," the strategies and methods used to permit adequate role functioning in relation to specific objectives.

Staff Behavior

Various aspects of teacher/caregiver personality have been reported that have a positive impact on children in school settings:

- Abstract beliefs, openmindedness
- Emotional warmth
- Emotional maturity
- Nonauthoritarian attitude
- Enjoyment of feminine pursuits by female teachers
- Similarity of ethnicity and socioeconomic status among teachers and children.

The research cited by the authors indicates that self-centered dominating behavior on the part of teachers correlates negatively with student academic performance and development of social skills; and that teachers over 55 are generally at a disadvantage in relation to positive impact on the development of achievement in students.

Staff-Child Ratios

The authors note that staff-child ratios are extremely controversial. Federally funded day care facilities must meet FIDCR ratio requirements. There is, however, little research that demonstrates the effects of such ratios on the child. Additional research is necessary before definitive recommendations can be made.

Conclusions and Recommendations

By 1980, this country will need an estimated 1.32 million child day care workers to meet the ever-increasing demand for day care services. Efforts must be made to develop instruments and guidelines to ensure the selection of caregivers who possess positive child care characteristics. The authors proposed the following:

- Persons concerned with child care should work with policymakers to establish the importance of child-centered approaches to teacher-child or caregiver-child interaction, to personality characteristics, to support, and to supervision and in-service training for teachers.

- The special needs of preschool-aged children mandate consideration of the personal and social characteristics of staff, including age, warmth, gratification derived from interaction, emotional maturity, aspects of personal history, and certain aspects of experience.

- A screening process for hiring staff and criteria for measuring competence of on-going staff should be developed.

- Day care staff should be familiar with the area and be from similar ethnic backgrounds as the children and families served by the day care center.

- Day care programs should adhere to the guidelines suggested for the development of staff training requirements.

- Criteria for competent child care workers which have an impact on children must be identified and incorporated in traditional and nontraditional training programs.

- Untested "competency" criteria should not be included in Federal guidelines.

- Federal research efforts must produce substantive data for consideration in the development of an HEW regulation concerned with appropriate group sizes and staff-child ratios.

- The provisions of such a regulation must reflect the availability of funding to the day care programs for which the requirements are prescribed.

When the alternatives are assessed, it is clear that Americans can provide sufficient quality child care for children and families only through greatly expanded Federal commitment and support, according to the authors.

HEALTH AND SAFETY ISSUES IN DAY CARE

by

Susan S. Aronson and Peggy Pizzo

EXECUTIVE SUMMARY

Overview

This paper addresses the basic subject of Federal regulation of health and safety in day care and focuses on the major risks for children in day care settings and the means by which those risks may be avoided; the perspective is prevention oriented.

An underlying premise of the paper is that day care should benefit, not harm children. Among the benefits of day care are health and safety practices which can help to make child rearing easier for working families of all economic levels and can partially counteract adverse conditions of needy families.

Basic Assumptions

The first section sets forth the assumptions of the authors as well as discussions of background information, methodology, the concepts of safety and risk, the complexity of measuring risk, current thinking about society's responsibility for the protection of day care children, the impact of the concept of custodial versus developmental care, and common emotional reactions on consideration of risk and risk reduction. The authors describe their philosophy and the organization and process of their study. They note, in discussing the concept of risk, that risk is defined in terms of possibility rather than probability, but that public attitudes toward risk-taking are often based on the probability of injury or loss. They stress that, from the viewpoint of child advocates, the emphasis is on what can be learned about events that are likely to result in childhood injury, illness, or impairment;

about conditions surrounding these events; and about reasonable methods for controlling such conditions and events.

Major Health and Safety Risks

In this section, the major risks to the health and safety of young children are statistically documented in terms of potentially severe outcomes, as well as frequency of incidence. Ranked in order from the most frequent cause of death and disability, they include:

- Accidents
  - Motor vehicle and pedestrian accidents
  - Fires and burns
  - Falls
  - Suffocation
  - Poisoning
  - Drowning
- Infectious disease
- Correctable health problems
  - Malnutrition
  - Dental disease
  - Lead absorption
  - Hearing loss
  - Developmental disabilities
  - Speech difficulties
  - Allergies
  - Vision problems
  - Genetically transmitted disease
- Use of hazardous, improperly adapted products
  - Playground equipment

- Toys
- Bicycles
- Infant furniture
- Beds
- Sports-related products.

Program Characteristics That Help Prevent Risk

In their examination of ways to minimize risk, the authors focus attention on both internal characteristics (within the day care program) and external characteristics (involving outside resources). Internal characteristics treated in this section include staff-child ratios; health education/knowledge base of children, staff, and parents; structural features of the physical plant and surroundings; and staff behavior. External characteristics include day care program linkages with health resources, training, regulations, and funding.

Using performance data collected from 143 day care programs by the Health Advocacy Training Project and task analysis data collected statewide from day care personnel by the Texas Day Care Study, the authors correlated risk-reducing program characteristics with the specific health and safety risks described above. In discussing day care program involvement with provision of health services, the authors propose that day care programs act as advocates for the health of children (and their families), facilitating the family's access to continuous, comprehensive health care. They do not propose that day care programs provide health services except in communities where available health services are grossly deficient.

This section concludes with a discussion of a survey of consumer attitudes which shows that American parents are committed supporters of health and safety standards for day care. Many are willing to pay extra to have immunizations and checkups, planned nutritional meals, and dental care available through day care.

Current Health and Safety Practices in Day Care

This section is concerned with recent major surveys of health and safety conditions in day care. Four generalizations are presented:

- Risk-enhancing conditions continue to exist in day care settings. Deficiencies have been found particularly in:
  - Emergency preparedness
  - Accident prevention
  - Fire and burn prevention
  - Detection of lead paint
  - Sanitation
  - Staff health care
  - Health habit assessment
  - Release from work because of illness.
- Both the content and process of regulation by individual States are inadequate for the protection of children.
- State training and technical assistance for licensing staff and providers are virtually nonexistent in the areas of health and safety features of the physical plant of day care programs.
- State rate setting is inadequate.

Conclusions and Options

Based on available information about risks to the health and safety of children, about characteristics of risk control programs, and about current practices, the authors conclude that children "are and have been at risk in day care," and that the Federal Government is paying for children to be in day care where they are being exposed to avoidable risks. Although it is not known whether the degree of risk in day care settings is greater than, equal to, or less than the degree of risk in home surroundings, the authors contend that risk in day care can be reduced. They argue that exposure to risk can result in increased Federal and non-Federal payments for medical care for accidental injuries, poisoning, and treatment programs to correct long-term defects. Three options are considered:

- No Federal standards
- Continued use of the current 1968 FIDCR
- Revision of the 1968 FIDCR to reflect a more precise Federal control of health and safety risks in federally funded day care.

The authors support the third option. They further propose that the Federal Government accept responsibility for leadership in establishing uniform training, research, and parent and provider information services to achieve understanding of the rationale behind Federal standards.

Recommendations

The authors propose the immediate development of Federal standards as well as long-term development of training, informational services, and regulation and monitoring review. They suggest specific regulatory statements.

They stipulate that the climate required for successful implementation of revised regulations should include adequate funding to permit compliance to be achieved, and supportive, rather than punitive, monitoring and technical assistance. As a long-term recommendation, they also urge the national adoption of the Child Life Safety Code* and the development of two new codes: (1) A national day care sanitation code, and (2) a child day care health and safety code. They further recommend that the Federal Government require that each State adopt these three national codes as prerequisites for all federally funded day care in the State unless it has equivalent codes of its own.

They suggest ways in which compliance with these standards could be fostered, including:

- Development of monitoring systems that consolidate (rather than add) inspections

*In the early 1970's, as an outcome of the HEW effort to develop Model Licensing Codes, a group of day care providers, representatives of the Office of Child Development, and members of the National Fire Protection Association Safety to Life Committee developed the Child Life Safety Code. This code consists of very specific requirements designed to minimize the risk of death or injury by fire in both group and family day care.

- Periodic Federal day care site monitoring (rather than reliance on State records alone)
- Establishment of cost-based reimbursement rate setting
- Federal dissemination directly to day care providers of information on major Federal health, safety, and nutrition programs
- Institution of grievance procedures to deal with complaints arising from any level of the system (parent, provider, State, or Federal).

The authors stress the importance of training to promote the most effective use of the regulation system as well as to foster other nonregulatory methods of minimizing risks to health and safety in day care. They also view as essential the provision of information to day care providers and parents to ensure that providers have all the resources they need to comply with health and safety standards, and that parents have the necessary information to become knowledgeable about these standards and about available child care options in the community. Accordingly, the following recommendations are offered:

- Training of Federal and State regulatory personnel
- Federal sponsorship of an annual national institute and periodic regional institutes on regulation of early childhood programs
- Courses in health and safety for day care providers including use of innovative training techniques such as TV correspondence
- Dissemination of a curriculum for a relevant first-aid course for provision of first-aid in day care settings
- Federal sponsorship of locally useful health advocacy training/consultation programs similar to those that have proved successful in New York and Philadelphia
- Development of educational materials to help providers locate and coordinate with health resources, and to help parents know what health and safety features to expect from federally funded day care

- Incentives for health and nutrition consultants to make their services available to day care programs.

Finally, the authors observe that insufficient knowledge generates obstacles to effective regulation of health and safety in day care. They recommend areas in which further research should be undertaken including:

- Accident rates
- Transmission and control of common infections
- Nutrition in day care
- The relationship of staff mental health to health and safety in day care
- Effective coordination schemes
- Health and safety knowledge, attitudes, and practices among day care providers nationally
- The impact of improving health and safety practices on risk reduction in day care
- The development of low-cost risk-reducing safety services which might be used in day care.

Impact

In a final section on the impact of these recommendations on the cost and availability of day care, the authors cite available data on the cost of effective monitoring, training, coordination, and direct health services to reduce health and safety risks in day care. They conclude: "The cost of most of our program monitoring, training, on-going health advocacy and coordination, and direct health service recommendations are affordable." The need for revision of regulations "that will result in fewer inhibitions on the day care supply" also is discussed. The authors state, in summary, that, "in view of the incredible costs of hospitalization, prolonged medical treatment, pain, and trauma that might be incurred if the present system continues, we think it quite reasonable to conclude that Federal regulation of health and safety in day care--such as we have outlined--would be extremely cost-effective."

THE EFFECTS OF THE PHYSICAL ENVIRONMENT ON DAY CARE

by

Elizabeth Prescott and Thomas G. David

EXECUTIVE SUMMARY

Overview

This paper addresses the effect of the physical environment on the behavior of infants, children, and the adult caregivers in the group or family day care setting. The authors present current practices and recommendations, examine evidence concerning the possible effects of those practices, and consider the usefulness of the FIDCR as a means to control the physical environment in child care.

The authors focus on the elements of the physical environment that affect the child's well-being. "Well-being" is operationally defined as the opportunity for children to develop a sense of mastery, competence, greater social and cognitive skills, and a positive self-concept. The philosophical orientation is that much of what happens in day care has no significant impact on the child and that the child soon forgets most experiences. The child may recall some negative experiences which may shut off possibilities for further exploration. Other experiences open the world for a child and provide positive memories which remain throughout the life cycle. The authors delineate those elements of the physical environment that may contribute to such enlightening and memorable experiences.

The authors discuss the relationship of the physical environment to the age of the children (infant-toddler, preschool, school-age) and the type of care (center or family day care). They note that it is not possible to provide an exhaustive discussion of the physical implications for all possible combinations of age, group, and type of care primarily because most of the available data are concerned with preschool center care. The authors present, therefore, general concepts that can be applied to a range of settings.

The paper is divided into seven sections, each of which addresses various elements of the physical environment. Each section examines current related licensing practices, as well as recommendations made by organizations concerned with professional standards, and sets forth other points of view or clarifies problem areas that need further study.

Major Findings

The authors observe that the physical environment of a day care center often resembles a school environment and warn that day care has a purpose that differs significantly from that of the schools. The physical environment of day care is often organized to reassure adults that health and safety are assured. When decisions about the environment are based on the administration's concerns about risk and freedom from blame, many experiences which are important to children are eliminated from the day care setting.

The design of the physical environment of day care also reveals the administrator's expectations for the adult caregivers. The absence of comfortable adult furnishings, or other objects which interest adults, often reflects a total disregard for satisfying the adult need for stimulation. Such a design indicates a value structure that is detrimental to autonomy. Research supports the conclusion that when adult options are low, child options also become limited. It is more appropriate for all caregivers to make inputs into the design of the day care setting. Environmental design cannot be independent of the experiences the caregivers want to provide for the children. There is an essential fittingness between the environment and the behavior of its inhabitants.

Regulations concerned with the physical environment of day care are often stated in terms that reinforce conformity and eliminate unique, diverse, and novel features. Rigid, inflexible requirements can seriously hamper the development of environments that facilitate the well-being of the children. Modes of enforcement other than mandatory regulations can be used to upgrade the quality of the physical environment. Alternatives to upgrading the physical environment through mandatory regulations include activities to:

- Stimulate parents to become educated and critical consumers by posting and providing them individually with the basic requirements for the physical environment. Such awareness may inspire parents to become a potent force to upgrade the quality of the physical environment.

- Establish environment planning as a priority component of ongoing in-service training.
- Provide adequate funds for start-up to assure that negative factors are not built into an environment.
- Assure that technical assistance is readily available.
- Evaluate carefully initial plans for day care facilities.

Recommendations

The authors recommend that two types of regulations be incorporated into the FIDCR:

- Mandatory regulations
- Regulations to assure program adequacy.

Mandatory regulations are defined as regulations that are specific, simple, and absolutely clear. Noting, however, that few regulations can be made clear at the Federal level, the authors recommend an indoor space footage of at least 40 square feet per child as the only mandatory requirement. They further suggest that the existing mandatory regulation for group size be eliminated.

Regulations to assure program quality need not be as specific as mandatory regulations and should be flexible enough to allow center staff to provide a plan for describing how a given requirement is to be met. Regulations for assuring program adequacy consist of the following:

- Limits on maximum and minimum room temperatures should allow for climatic differences among various geographic locations.
- Adequate square footage, ventilating fans, outdoor shady areas, and opportunities for water play should be available.
- Comfortable adult-sized furniture should be provided in the areas where adults are working with children.
- Adequate storage should be provided and some storage should be accessible to children.

- Provisions for privacy and opportunities to pursue activities without unnecessary intrusion should be available.

- Adequate play equipment should be provided in a variety sufficient to meet the needs of quiet and active children, as well as children from different ethnic backgrounds.

- Programs should be able to accommodate children with handicaps. (While barrier-free design is described as an important consideration, the authors determined adequate square footage and sufficient staff as the features that are most important for handicapped children. Even though it may be necessary to make some changes for each child who is admitted, handicapped children often can handle more equipment than staff anticipate.)

The authors further recommend that technical assistance and quality in-service training be available in the following areas:

- Acoustics, noise control
- Lighting
- Flooring
- Color
- Bathroom design
- Kitchen design
- Outdoor play area design
- Overall size of center

Regarding the issue of regulations for family day care homes, the authors recommend that there be no mandatory environmental requirements for family day care beyond basic requirements for health and safety. In this regard, technical assistance and other types of support should be available for family day care providers.

In their concluding remarks, the authors point out the usefulness of the "Guides for Day Care Licensing" as a

frame of reference for States to upgrade their licensing requirements. They suggest, therefore, that in developing the new FIDCR, serious consideration should be given to their relationship to the existing "Guides for Day Care Licensing."

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THE EFFECTS ON CHILDREN OF THE ORGANIZATION AND THE DESIGN OF THE DAY CARE PHYSICAL ENVIRONMENT

by

Charito Kruvant, Ginny Redish and Diane Trister Dodge

EXECUTIVE SUMMARY

Overview

This paper is the final report of the Celebration in Learning '76 team which, under the direction of Charito Kruvant, examined the effects of the day care physical environment on the children and adults within that environment. The report focuses on the impact of the following specific aspects of the day care environment: The location and design of the facility, the arrangement of indoor and outdoor space, and the organization of furniture and materials.

The text of the report consists of a series of recommendations by the authors regarding the FIDCR environmental and educational standards. Supporting evidence and rationale are also presented for each recommendation. Where the research evidence is weak or nonexistent, the authors indicate the need for more studies as well as the directions they should take. In the absence of clear research data, empirical evidence is reported based on the authors' own observations and those of others in the field.

Federal Role in Day Care Regulation

Citing the need for Federal day care regulation and standard setting, the authors recommend that:

- The Federal Government should continue to regulate child care in federally subsidized programs.
- The FIDCR should be bolstered by the addition of compliance requirements such as those given in the Guides for Day Care Licensing (HEW, 1973).

Location, Safety, and Sanitation

The authors make the following recommendations regarding location, safety, and sanitation factors:

- As a compliance requirement for the implementation of the FIDCR provision that "convenience to the home or work site of parents . . ." be considered in establishing day care, the authors suggest: "Day Care should be allowed in all zoning districts--be they residential, commercial, or industrial--unless it can be shown that hazardous environmental factors are present at that location."

- In reference to the FIDCR on safety and sanitation, the specific requirements in the Guides for Day Care Licensing, pp. 35-44, on fire and safety requirements should be part of the FIDCR.

- In reference to the interagency requirement on handicapped children, the authors recommend that the following additions be made to the FIDCR:

  - Wherever structural factors are inhibitors of inclusion of handicapped children in a day care program, every effort should be made to eliminate these barriers.

  - The administrative agency should be required to help the day care provider obtain technical assistance in space design and to obtain funding necessary to make space accessible to handicapped children.

  - The administrative agency that places a handicapped child in a day care program must also be responsible for training the day care staff in the special needs of such children and provide technical assistance in integrating these children into the ongoing program and/or adjusting the program for them.

  - When the space and program cannot be altered enough to allow the child to be self-sufficient (because of the child's degree and type of handicap) but when

the child could enter the program if there were additional staff, the administrative agency placing the child should also provide assistance in securing special funding for the extra adult required.

Indoor and Outdoor Space

The authors recommend the following:

° That the FIDCR provision for "adequate indoor and outdoor space . . ." be expanded by the following compliance requirements on p. 19 of the Guides for Day Care Licensing:

- There is at least 35 square feet of indoor space per child (exclusive of bathrooms, halls, kitchens, and storage places).

- Limited indoor space is offset by outdoor space where shelter and climate permit reliable use of such activities normally conducted indoors.

- There is at least 75 feet per child of outdoor play space. Where such space is not available at the facility, parks or other outdoor facilities that are easily accessible may be utilized.

° That further research studies should be conducted into the question of minimum space necessary for a given program model and the correlations between space per child and other factors determined to be indicators of quality day care.

° That the requirements for suitability of facilities be expanded to include the following:

- Availability of a variety of indoor and outdoor settings

- Protected areas where equipment and materials can be used with minimal interference

- Private areas and spaces for children and teachers

- Soft, quiet areas (such as rugs, pillows, and couches)

- Furniture that is durable and safe

- Adequate provisions for handicapped children to ensure their safety and comfort.

° In a program where a majority of the time is spent out of doors, the compliance requirements relating to variety of settings and activities, protected areas, private areas, and soft areas, should be applicable to the outdoor facility. In programs where the outdoor area is used only for shorter periods of the day and primarily for physical exercise to supplement well-organized and well-supplied indoor space, the compliance standards should be recommended goals for the outdoor area.

Equipment and Materials

The authors recommend that:

° The existing FIDCR language regarding educational services be changed to reflect the need for equipment and materials that are appropriate to particular types of programs and the culture and developmental level of participating children

° Compliance requirements be specified for meeting standards on materials and equipment. One possible list, based on The Guides for Day Care Licensing, would require materials and equipment to be:

- Consistent with the specific educational objectives of the program

- Consistent with the cultural and ethnic backgrounds of the children

- Geared to the age, ability, and developmental needs of the children

- Sufficient in quantity

- Able to provide a variety of experiences that appeal to children's individual interests and encourage exploration and experimentation

- Safe, durable, and kept in good condition

- Stored in a safe and orderly way.

Improving Implementation of the FIDCR

The authors suggest that successful implementation of Federal day care regulations is contingent upon the improvement of the monitoring process. They also stipulate that the intent of regulations should not be to close programs, but to aid child caregivers to study the requirements. The FIDCR could impact on these needs by requiring State and local agencies to help day care providers meet regulations by providing information, coordination, training, and technical assistance. The authors therefore recommend that:

° The administrative agency in charge of licensing should be required to make available to all prospective child care providers an information packet outlining step by step what must be done to be licensed.

° The licensing function should be placed in an agency that is directly concerned with early childhood education.

° Early childhood specialists who become licensing monitors should be trained in applicable regulations.

° The licensing monitor should give technical assistance in how to meet space requirements when requested to do so.

° There should be a coordinating board to eliminate contradictory regulations.

° Performance standards should be flexible with stated alternatives whenever possible.

° Levels of acceptable compliance could be built into regulations. One level would be the provisions that are absolutely necessary for the protection of children. A second level would be recommendations and goals for quality care.

- Planning grants and assurance of continuation of support for well-functioning programs should be available to day care providers.

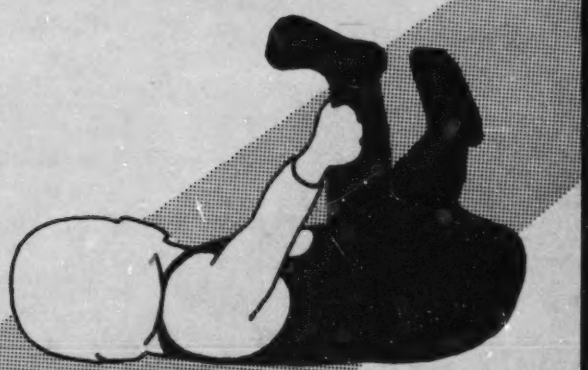
- Licensing authorities should be mandated to maintain lists of technical experts available to help day care providers, including experts in space design.

- The use of physical space should be included in the list of specific program areas to be included in the FIDCR section on in-service training (FIDCR VI).

FIDCR requirements for training should be continued and emphasized because enabling the child care worker to make educated decisions about the use of physical space is probably the most efficient and practical way to achieve the goal of quality space usage in child care programs.

Cluster IV.

Day Care and the Marketplace: Overview of Supply and Demand



"The Child Care Market:
A Review of the Evidence
and Implications for
Federal Policy," by
C. Russell Hill

INTRODUCTION
TO
CLUSTER IV. DAY CARE AND THE MARKETPLACE: OVERVIEW OF SUPPLY AND DEMAND

Cluster IV presents an analysis of the state of the child care market in an attempt to understand more clearly the factors that lead families to choose the kinds of child care that they do. This analysis is then used to discuss the Federal role in the day care market and Federal policies affecting it.

This cluster contains one paper: "The Child Care Market: A Review of the Evidence and Implications for Federal Policy," by C. Russell Hill, Ph.D., Associate Professor of Economics, at the University of South Carolina, Columbia, S.C.

THE CHILD CARE MARKET: A REVIEW OF THE EVIDENCE AND IMPLICATIONS FOR FEDERAL POLICY

by

C. Russell Hill

EXECUTIVE SUMMARY

Overview

From 1940 to 1975, the number of women participating in the labor force more than doubled, while, during the same period, the number of working mothers increased more than eightfold. The projections for 1985 indicate that there will be 6.6 million mothers in the labor force with children under the age of 5. This would represent a 32 percent increase from 1975. Whatever the relative strengths of the social and economic determinants of this secular trend, it is clear that the movement into the labor force by women with young children could not have occurred without the provision of some mode of child care--either from within the family or external to it. The purpose of this report is to review and critique several existing studies of the child care market in order to understand better the factors that lead families to use different modes of child care while the mother is employed. The analysis of the state of the child care market is then used to discuss the Federal role and a variety of Federal policies in this market.

The studies chosen for review provide a wide cross section of sample characteristics and methods of analysis. The primary type of study reviewed here is what the economist would term a "demand" analysis. Here, child care is treated as a commodity for which the consumer has a preference, and these preferences are revealed in a market situation. While studies of the demand for different modes of child care indicate families' preferences for alternative modes, they do not, in general, tell us how these preferences are formed. Policies designed to encourage the use of certain modes of child care would be enhanced if we knew which characteristics of the observed mode that is demanded lead to that choice. The review of these several studies can be summarized as follows:

- The utilization studies all indicate that either in-home or informal market care (babysitters or relatives not in the home) is revealed to be the preferred method of caring for preschool children for the majority of households across a wide spectrum of income classes.

- Mothers appear to be "satisfied" with their present choices of child care arrangements, although the survey questions that elicit such responses may lead to rather self-serving answers.

- The size and age composition of the family is a critical factor in affecting the family's choice of child care mode. The lack of teen-age siblings or other adults, or a one-parent family, sharply increases the probability of the family using an extra-family mode of child care for its preschoolers.

- The net effects of working women's wage rates and other family income differ in the manner in which they affect modal choice. In two-parent households, for example, the higher the wife's wage rate, the more likely the family is to use both formal and informal market care. Other family income had essentially no net effect on modal choice at all.

- Because the use of formal modes of child care is positively related to female earnings, subsidizing this method of care may be regressive in nature. That is, families with higher female earnings will receive greater subsidies.

- It is difficult to make quantitative judgments regarding quality differentials among child care vendors on the supply side of the market. Most studies, however, use the staff-child ratio as the summary measure to evaluate differences across day care centers or other market providers.

- The simultaneous existence of day care waiting lists and excess capacity in the day care centers need not imply market disequilibrium. Without further information on the price structure of

alternative modes of care, the mere fact of putting one's name on a waiting list is not a reliable indicator of consumer preferences.

The arguments for expanded national day care coverage seem to be based on four factors:

- The number of individuals on the waiting lists of day care centers is quite large.
- The number of female-headed households is increasing.
- The labor force participation of women with preschool children has shown a dramatic secular increase.
- There is the impression that self-care or care by older siblings is inadequate care.

These factors, by themselves, need not imply a direct Federal role in the child care market, nor do they imply an excess demand for formal, institutionalized day care facilities. The studies of the market for preschool child services reviewed in this report do lead us to the following conclusions:

Conclusion 1: Households with working mothers reveal their preferences by purchasing at-home or informal market care for reasons that are economically rational.

Conclusion 2: While most studies indicate that consumers are content with their present method of caring for their children, not enough is known about how preferences are formed and the need for adequate consumer information about alternatives.

Conclusion 3: The size and age composition of the family is a critical factor in affecting a family's choice of child care mode and should, therefore, be an important element in any Federal policy of child care support.

Governmental intervention in a market is justifiable on economic grounds if the private market's demand and supply relationships do not fully measure both the private and social benefits and costs of a transaction. The evidence

reviewed here implies that this economic justification for intervention is only weakly supported. The primary consensus seems to be that the benefits to society of publicly provided day care services are, at best, quite small. This argument is made on economic grounds, however, and other philosophical arguments may be persuasive. For example, the argument is made by women's rights groups that an important step in achieving equality for women is for society to finance the child care costs of those who wish to work. While there is little evidence of a private market failure for child care, the presumed benefits to children of federally standardized care make it likely that there will be an important Federal role. This role should be one of improving the market in terms of promoting both efficiency and equity. The last policy conclusion, then, is as follows:

> Conclusion 4: Unless and until convincing evidence becomes available regarding the benefits to children of alternative modes of care, Federal policy should be essentially neutral with regard to the promotion of one mode of care over another.

Efficiency and equity would be improved through a system of public and private child care financing, together with a mechanism of control on the demand side that blends parental and professional judgments. The proper form of subsidy would be a child care voucher which is given directly to the consumer--not to the vendor--and is applicable to both formal and informal modes of care. The voucher would be both income conditioned and age-structure-of-family conditioned. An essential component of such a voucher system is a mechanism to ensure that parental judgments are well informed about the care of their children and about alternative facilities.

When one looks at the entire child-care modal distribution--both formal and informal market care and nonmarket--it is not clear that Federal intervention will "improve" the choice decisions made by households. The evidence reviewed here indicates that consumers choose nonmarket or family modes of care for rational reasons and are likely to continue to do so, regardless of Federal action. The Federal Government should, therefore, accept this example of consumer sovereignty and play primarily two roles in this market:

- As a catalyst that facilitates consumer choice by providing information on alternative market modes

- As the developer of a subsidy scheme that is both equitable and flexible enough to ensure an efficient allocation of resources to the desired mode of care.

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